



Education & Skills  
Funding Agency

# **Provider Support Manual for 2018 to 2019**

Version 2

This document contains guidance to support providers to meet requirements and make ILR data returns during the 2018 to 2019 funding year.

February 2019

<b>Title</b>	Provider Support Manual for 2018 to 2019
<b>Purpose</b>	To provide additional guidance and support for the technical specification of the data collection requirements and file format of the ILR. To support the intended audience to be able to meet the requirements for ILR data returns in 2018 to 2019.
<b>Intended audience</b>	This document is aimed at those responsible for collection of ILR data from learners; making data returns; data specification implementation; and MI system design (including MI managers, commercial software suppliers and own software writers)
<b>Version</b>	1
<b>Version</b>	2

## Document history

**Version 1** Published July 2018. Changes from the 2017 to 2018 provider support manual are highlighted in yellow.

**Version 2** Published February 2019. Changes from version 1 are highlighted in green.

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## Section 1 How to use this manual

1. This manual is intended to provide additional guidance to support you to meet the requirements for Individualised Learner Record (ILR) data returns. The document includes detailed guidance and examples for completing the ILR for different types of learning provision and in different scenarios, in some cases worked examples relating to funding are provided.
2. Not all of the guidance in this document will be relevant for all training organisations or learning providers, and you do not need to read all of the guidance in the document. For example, if you do not deliver traineeships then you do not need to read the guidance about recording traineeship programmes. You should refer to the sections that are relevant to you, the training you deliver and the data you need to record on the ILR.
3. There is a reference page at the back of this document with all the related hyperlinks to the documents and webpages that are referred to throughout this document. Each item contains a hyperlink to the relevant webpage or document.

### 1.1 Terminology

4. In the guidance that follows, the terms 'we', 'our', 'us' and 'ESFA' all refer to the Education and Skills Funding Agency.
5. When we refer to 'you' or 'providers' this includes colleges, Higher Education Institutions, training organisations, local authorities and employers who receive funding from us or through Advanced Learner Loans from the Student Loans Company (SLC) to deliver education and training.
6. For 'direct grant funded' employers and 'employer-providers', any guidance addressed to 'you' or 'providers' applies to your organisation and the training you are delivering.
7. The generic term 'apprenticeship' is used to refer to all types of apprenticeship (frameworks and standards), unless we state otherwise.
8. When we refer to the 'current year', we are referring to 2018 to 2019 which is defined as 1 August 2018 to 31 July 2019.
9. When we refer to the 'previous year', we are referring to 2017 to 2018 which is defined as 1 August 2017 to 31 July 2018.



## Section 2 Introduction to the ILR

### 2.1 What is the ILR?

10. The ILR is an on-going collection of data about learners and the learning undertaken by them from learning providers in the Further Education (FE) and Skills sector.
11. The FE and Skills sector includes: Further Education Colleges, former External Institutions, Sixth Form Colleges, Training Organisations, Local Authorities, Academies, and Voluntary and Community Organisations.
12. The data collected in the ILR for each teaching year is detailed in the *Specification of the Individualised Learner Record* and the associated documents. The ILR documents are listed below:

Document	Description
ILR specification	Technical specification of the Individualised Learner Record
Validation rules	Spreadsheet of validation rules and accompanying guidance
Learning delivery monitoring codes	List of the Learning delivery monitoring (LDM) codes for use in the Learning Delivery Funding and Monitoring fields
Appendix A	Data collection timetable
Appendix B	Migration mapping from the previous year to the current year format
Appendix D	Higher Education Domicile codes
Appendix F	Privacy notice
Appendix G	Prior attainment levels
Appendix L	Standard occupational classification (SOC) 2000/2010 codes
Appendix Q	List of codes for learning outcome grades

13. The ILR specification defines what data is collected for each teaching year. For ILR purposes, the teaching year runs from 1 August to 31 July.

### 2.2 What is ILR data used for?

14. Data underpins funding and commissioning decisions, and also underpins and informs the work of Ofsted and other agencies. When aggregated, it presents the progress and position of the sector to sponsoring departments and to the Government, thereby informing policy making decisions.
15. Data recorded on the ILR return is used to calculate funding earned by providers and to enable comparison of actual volumes and costs against contracted levels.
16. The data provides management information, including performance indicators, which are used to manage the current programmes and also to assist with the development of future programmes.
17. The data gathered provides information about the effectiveness of the learning

programmes in terms of who they reach, what learning they receive and what outcomes are subsequently achieved.

18. The data collected in the ILR is also used to ensure that the public money distributed through the ESFA is being spent in line with government targets for quality and value for money, for planning, and to make the case for the sector in seeking further funding. Specifically, the data is used to:
  - monitor individual providers' delivery against allocation or contract
  - inform local decisions about plans and provision
  - monitor progress to targets
  - to give the ESFA assurance that the funding rules are being followed
  - inform national planning, including policy development and modelling
  - calculate actual funding earned
  - monitor quality of provision and evaluate the effectiveness of providers across the sector
  - make the case to government for levels of funding appropriate to the sector
  - demonstrate the outcomes of distribution of government funds.
19. The data will be analysed in relation to:
  - demographic trends
  - participation and achievement rates
  - local labour market requirements
  - strategic planning targets.
20. These analyses will enable the funding bodies to:
  - influence curriculum and capital investment within providers for the benefit of the local economy
  - engage with providers in medium and long term strategic planning.
21. The ESFA holds ILR data in a single national data collection database. This database contains the most up-to-date ILR data for each provider. At certain points in the year, the ESFA will extract data from this national ILR database for the purposes above.

### **2.3 Who is required to make ILR data returns?**

22. ILR returns are required from providers who receive funding directly from the ESFA, or through Advanced Learner Loans.
23. Providers are grouped into two broad types for ILR collection purposes, these are:
  - Colleges (also referred to as 'grant funded' providers in some cases) - this type covers:
    - Further education corporations established under the Further and Higher Education Act 1992, covering GFE's, Tertiary, Sixth-form, Specialist Colleges, and Academies
    - Sixth Form Colleges established under the ASCL Act 2009
    - Local authorities (county, borough, district and city councils and unitary authorities in England)

- Higher Education Institutions (HEIs).
- Training organisations (also referred to as ‘contract funded’ providers in some cases) – this type relates to:
  - An organisation whose main area of business is education and/or training, but which is not a college or local authority
  - A ‘loans only’ training provider with a facility to deliver only Advanced Learner Loans funded provision.

## **2.4 Coverage of the ILR**

24. All providers must return ILR data for learners for whom they receive direct funding from the ESFA through any of the following funding models:
- 16-19 (excluding apprenticeships)
  - Adult skills
  - Community learning
  - European Social Funding (ESF)
  - Apprenticeships (from 1 May 2017)
  - Other Adult funding, or
  - Other 16-19 funding
25. This includes learners who are subcontracted out to other providers.
26. There are some circumstances in which learners who are not funded by the ESFA must be included in ILR returns.
27. Providers must also return ILR data for learners who are financed by Advanced Learner Loans.

### **2.4.1 16-19 funding (excluding apprenticeships)**

28. The 16-19 funding model (previously called ‘16-19 EFA funding’) funds non-apprenticeship provision for:
- 14 to 16 year olds who are directly recruited into eligible FE institutions,
  - electively home educated (EHE) students of compulsory school age who are enrolled at any FE institution,
  - 16 to 19 year olds,
  - learners aged 19 or over who are continuing a programme they started aged 16, 17 or 18, and
  - non-apprenticeship learners aged 19 to 24 who have an Education Health and Care Plan.
29. All learning aims undertaken as part of a study programme must be recorded on the ILR.
30. ESFA 16-19 funded study programmes are recorded using code 25 in the Funding model field.

### **2.4.2 Adult skills funding**

31. The Adult skills funding model supports flexible and responsive provision to

learners and employers, including:

- Qualifications and non-regulated learning including traineeships for 19 to 24 year olds, and learning and learner support funding that is funded through the Adult Education Budget, and
- Apprenticeship frameworks (including 16-18 apprentices) started prior to 1 May 2017.

32. Adult skills funded learning is recorded using code 35 in the Funding model field.

33. If the learner is 19 years old or over when they start, the learning is at level 3 to 6, and it is not an Advanced-Level or Higher Apprenticeship, then the provision is not supported by the Adult skills funding model but may be supported by a Loan.

#### **2.4.3 Other 16-19 and Other Adult skills funding**

34. Funding model code 81 and Source of funding 105 must be used to record all learning aims for:

- Apprenticeship standards started prior to 1 May 2017.
- Other Adult skills funded provision as notified by the ESFA for pilots and specific exercises that is not funded by the Adult skills, ESF or Community learning funding models.

35. Learning aims started on or after 1 August 2013 that are delivered through funding models 81 and 82 should be identified using a Learning Delivery Monitoring code recorded in the Learning Delivery Funding and Monitoring (FAM) fields. You will be informed which code to use. This does not apply to apprenticeship standards.

#### **2.4.4 Apprenticeships**

36. Apprenticeship frameworks and standards can be delivered at different levels, including: Intermediate-level Apprenticeships, Advanced-level Apprenticeships, and Higher and Degree Apprenticeships.

37. All apprenticeship programmes on the ILR are comprised of a programme aim and one or more component aims. For apprenticeship frameworks, these component aims are: competency, knowledge and functional skills aims.

38. For new apprenticeship programmes started on or after 1 May 2017, these must be recorded using Funding model code 36. This includes both apprenticeship frameworks and apprenticeship standards.

#### **2.4.5 Community Learning**

39. For Community Learning activity claimed using the 'non-formula funded' approach, ILR data must be recorded using Funding model code 10 and Learning Delivery FAM records to identify Personal and Community Development Learning (PCDL), Neighbourhood Learning in Deprived Communities (NLDC), Wider Family Learning (WFL), or Family English, Maths and Language (FEML).

40. For activity similar to Community Learning delivered through the Adult Education Budget (AEB) formula funded approach, you do not need to record these Learning Delivery FAM codes, but must follow the requirements for the Adult skills funding

model (Funding model 35) set out in the ILR specification and this guidance document.

41. Community Learning provision that is subcontracted to an FE College by a local authority must be recorded by the College using code 99 in the Funding Model field, with a Learning Delivery FAM code of SOF108.
42. The data collection requirements are the same for all non-formula Community Learning provision, regardless of whether it is directly funded or subcontracted by a local authority (Funding model 10, or Funding model 99 and Source of funding 108).

### **Recording Family English, Maths and Language**

43. All provision recorded as Family English, Maths and Language (FEML) must meet the definition of FEML provision in the ILR specification.
44. FEML provision must be identified in the Learning Delivery FAM fields using the applicable codes:
  - For FEML, learning aims delivered and formula funded through the AEB (Funding model 35) are recorded using code FLN1
  - For non-formula funded FEML learning aims delivered through the Community Learning funding model (Funding model 10), record using code ASL3.

#### **2.4.6 European Social Fund (ESF)**

45. ESF funded learning is identified in the ILR using Funding model code 70.
46. ILR data provides information to manage and calculate ESF funding. The data derived is also used to manage and monitor ESF funded provision and to inform the development of future policy. Where relevant, the data is also used to substantiate ESF funding claims.
47. ILR data is also used to produce the ESF Programme Management Information (MI), which is submitted with each ESF claim to the ESF Managing Authority and then to the European Commission. For the 2014 to 2020 ESF Programme, the MI for common outputs and results indicators is set by [Regulation \(EU\) No 1304/2013 of the European Parliament and Council](#). The ESFA has a statutory obligation to collect this information for ESF funded learners and those learners that are used, or could potentially be used, as match funding.

#### **2.4.7 Traineeships**

48. The traineeship programme helps unemployed young people aged 16-24 to develop the necessary skills and experience to progress to an apprenticeship or long-term work.
49. Traineeships are funded through both the 16-19 funding model and Adult skills funding model.

#### **2.4.8 Learning that is not funded by the ESFA**

50. All providers must return an ILR for Higher Education Funding Council for England

(HEFCE) funded learners.

51. There are also some circumstances, detailed below, in which non-funded learners are included in the ILR.

### **Requirements for Further Education (FE) colleges**

52. FE colleges must send data for all learners, including those that are not funded by the ESFA. This learning should be recorded as follows:
53. Subcontracted-in learning aims that are delivered by the college on behalf of another college or training provider who is in receipt of direct ESFA funding must be recorded using Funding model code 99 and Source of funding code 998 'Other'.
54. Community Learning provision that is subcontracted-in to the college by a local authority (LA) must be recorded using Funding model code 99 and Source of funding 108.
55. Provision where the full cost of the learning is met by the learner or their employer must be recorded on the ILR using Funding model code 99. The Source of funding does not need to be returned for this learning.

### **Example**

*A training organisation receives funding from the ESFA but subcontracts provision for 10 learners to Casterbridge College (i.e. the provision is subcontracted-in to Casterbridge).*

*Casterbridge College includes the 10 learners in their ILR return with the following coding:*

- *Funding model = 99*
- *Source of funding = SOF998*

### **Non-funded apprenticeships**

56. Training organisations are asked to send details of apprenticeships that are not funded by the ESFA in the following circumstances:
  - where the apprenticeship programme is delivered within the terms of an ESFA contract, and
  - on a voluntary basis in other cases
57. These non-funded apprenticeships need to meet the collection requirements for frameworks or standards, but don't need the Financial dataset to be recorded.

### **Requirements for Higher Education Institutions (HEIs)**

58. The following requirements apply to non-apprenticeship provision only.
59. All HEIs that receive funding from the ESFA should make returns to the Higher Education Statistics Agency (HESA), which collects data on behalf of HEFCE.
60. Where HEIs make returns to both data collection agencies, you should be aware that the EFSA will use only data returned on the ILR for funding purposes.

61. For learners funded through Advanced Learner Loans, HEIs must return ILR data to the ESFA for all Advanced Learner Loans funded provision.

### **Advanced Learner Loans**

62. Advanced Learner Loans help people aged 19 or over to undertake FE learning aims at levels 3 to 6. Please refer to the Advanced learner loans funding and performance management rules 2018 to 2019 for further information.
63. All providers must send ILR records for all learners and learning aims financed by an Advanced Learner Loan.
64. Learning aims that are financed by an Advanced Learner Loan must be recorded using Funding model code 99 and a Learning Delivery FAM code of ADL1.
65. Some learning aims financed by an Advanced Learner Loan may require Higher Education data to be returned on the ILR.
66. ILR data for Advanced Learner Loans must reflect the data held by the SLC.

### **Advanced Learner Loans Bursary**

67. In addition to the Advanced Learner Loan, learners can also be in receipt of support funded through the Advanced Learner Loans Bursary Fund. The Loans Bursary Fund is a separate ESFA allocation.
68. The Advanced Learner Loans Bursary should be recorded on the ILR in the Learning Delivery FAM fields.
69. The dates for which the learner is receiving support through the loans bursary need to be recorded using the 'Date applies from' and 'Date applies to' fields.
70. For contract funded providers and providers which only have a loans facility agreement with the ESFA, the bursary will be paid monthly based on ILR returns up to the level of your bursary allocation as set out in your loans facility agreement.
71. For providers funded through a grant, the bursary allocation is paid on profile and reconciled at the end of the year; any unspent funds must be repaid. If the learner requires learner support, this should also be recorded using the Learner support reason (LSR) codes in the Learner FAM fields.
72. Please refer to the Advanced learner loans funding rules for payment and performance management arrangements.

### **OLASS funded learners**

73. All learning aims delivered through the Offenders' Learning and Skills Service (OLASS) should be identified using code LDM034 in the Learning Delivery FAM fields.
74. These aims should be recorded with Funding model code 99.

#### **2.4.9 Subcontracted provision**

75. The requirements for returning ILR data for subcontracted provision are described below.

### **Recording subcontracted-out provision (All providers)**

76. You may deliver teaching and learning to learners that you enrol either directly or through a partnership or subcontracting arrangement with another organisation (subcontracted-out).
77. The Subcontracted or partnership UKPRN field must be completed to indicate if any proportion of the learning aim is delivered by a partner or subcontracted provider.
78. Provision funded through Advanced Learner Loans must not be subcontracted-out to other providers.

### **Recording subcontracted-in provision (FE colleges only)**

79. The data requirements for subcontracted-in provision depend on the type of provider that you are subcontracted to. The following guidance applies to FE colleges only.
80. For provision subcontracted-in from a school or HEI:
  - You should not return ILR data for learners enrolled at a school even if the learners are studying provision delivered by you on behalf of the school at which they are enrolled.
  - You must not return ILR data for learners who are subcontracted-in from a HEI for provision at level 4 or above.
81. For provision subcontracted-in from another provider (not a school or HEI):
  - Learners who are subcontracted-in from another provider should be included in the ILR.
  - Learners who are undertaking HE provision and are subcontracted into an FE college from another FE college must not be included in the ILR.
  - Learning aims must be recorded using Funding model code 99. The Source of funding must be returned as code SOF998 unless the provision is Community Learning subcontracted from a local authority: in this case, the Source of funding must be SOF108.



## Section 3 Collecting and submitting ILR data

### 3.1 Data management principles for ILR completion

82. You must adhere to the following five Data Management Principles when completing the ILR.

*Principle 1: The ILR must accurately describe the provision delivered to each learner*

83. The data you record on the ILR must accurately reflect the journey for the learner and what has happened. Inaccurate information must never be entered even where it is perceived that this would result in a more equitable claim for funding or accurate record of performance.
84. If no learning is delivered for a learner, then no learning should be recorded on the ILR. For example, if a learner withdraws without attending the first class, then this learner is not included on the ILR. You must not record this on the ILR with a Completion status of 'withdrawn'.

*Principle 2: The ILR must accurately and comprehensively reflect what is recorded in the learner file or learning agreement*

85. The learner file (or learning agreement) records the goals that the learner and provider have agreed. It is against these goals that provider performance, in terms of achievement rate, is measured.
86. It is recognised that the learning aim may be agreed during the initial period of learning for a long qualification. However, a learning aim must not be changed once set. It is reasonable to expect that the goal should be agreed as soon as possible.
87. Consequently, providers must agree and record the learning aim within the funding qualifying period as defined in the relevant ESFA funding documentation. There is one exception for English for speakers of other languages (ESOL).
88. Where a provider and learner agree to a change of aim after delivery of the aim has commenced and the funding qualifying period has passed, then this change must be recorded as a transfer in the ILR.

*Principle 3: For any particular return, a provider must meet the timeliness specification*

89. Where there is a collection reference date on the ILR data collection timetable (Appendix A), you must accurately describe in the ILR all provision delivered up to and including the collection reference date. The provider may include data for provision delivered after the collection reference date.
90. For ILR returns that do not have a reference date, you must return new starters, leavers and changes in a timely manner.
91. Where data describes provision to be delivered in the future, that is beyond the reference date or beyond that required to meet the timeliness standard, no one should assume this data is complete or accurate.

*Principle 4: Basic pieces of information about a learner and their learning must remain constant once entered in the ILR except where the information has been entered in error.*

92. The following fields in particular should not be changed without keeping a record of the reason for the change:
- Planned learning hours
  - Planned employability, enrichment and pastoral hours
  - Postcode prior to enrolment
  - Learning aim reference
  - Funding model
  - Learning start date
93. The Learning planned end date field must not be changed once set and this is stated specifically in the ILR specification.
94. Where inaccurate data is sent, Principle 1 takes precedence: it is more important to correct inaccurate data than to not change fields.

*Principle 5: Providers should aim to implement data management best practice when processing learner data within their systems in order to deliver timely and accurate data in their ILR*

### **3.2 How should I collect ILR data?**

95. You can collect the data required to make an ILR return in whatever way you wish to and in the best way that supports your natural business processes. For example, information about a learner may be gathered on a paper enrolment form or through an online enrolment process. Much of the information about the learning aims and programmes being undertaken may be held within a Management Information System (MIS) and can be exported directly from this.
96. You must ensure that you collect data in line with the ILR data management principles, particularly Principle 2: the ILR must accurately and comprehensively reflect the evidence recorded in the learner file or learning agreement.
97. To assist you in collecting the correct data for different types of learners, a list of the fields required for each funding model is given in *Section 13*.

#### **Data protection requirements**

98. You should make sure that all learners have seen the Privacy Notice, which informs them about how their data will be used. The Privacy Notice can be found in Appendix F of the ILR Specification.
99. You should ask learners if they **agree** to be contacted for marketing, survey or research purposes and record this information in the Learner contact preference fields in the ILR.
100. You are required to ensure that the requirements of the **General Data Protection**

Regulation (GDPR) are maintained at all times.

101. The contact preference requirements from the 25th May 2018 are as follows:

- If a learner starts on or after 25 May 2018 and before 1 August 2018 they are recorded on the 2017 to 2018 ILR as normal.
- Providers must capture whether the learner has opted in to allow their data to be shared. This data however is not returned on the 2017 to 2018 ILR.
- When these learners are returned in the following year (2018 to 2019), the learner records will need to be amended to reflect the learners actual preference to opt in or not.

### Learner Files

102. This was previously called 'Learning Agreements'. All learners must have a learner file.
103. The ESFA funding rules and Advanced learner loans funding rules provide detailed information about the requirements for the learner file for ESFA and Advanced Learner Loans funded further education.
104. The ESFA 16 to 19 education funding regulations document provides funding compliance guidance in relation to learner recruitment, existence, retention and achievement.

### Paper forms

105. All ILR data is required to be reported electronically to the ESFA, however you may use a paper form at the point of contact with the learner to capture data about the learner and this may form part of the learner file or learning agreement.
106. You are encouraged to use your own processes to gather ILR data which best meet the needs of your organisation. This may not involve the use of paper forms at all.

### 3.3 How do I send data to the ESFA?

107. ILR data must be sent to the ESFA by uploading a file in XML (extensible mark-up language) format to ESFA's secure online portal: The Hub
- 108. It is best practice to send data to the ESFA regularly and not wait until a return date to upload a file. You should upload an ILR file to the Hub early in a return period to allow enough time to resolve any validation errors and warnings.**
109. You should produce this XML file from your MI system and upload it to the ESFA via the Hub.
110. If you do not have an MI system capable of generating an XML file, the ESFA provide an ILR Learner Entry Tool which can be used to create an ILR file for upload to the Hub. The Learner Entry Tool can be downloaded from the 'Useful links' section on the Hub homepage. Documentation for the tool can be accessed via the ILR webpage.

111. If you experience problems uploading an ILR file, you should contact the ESFA service desk as soon as possible.

### **3.3.1 File compression**

112. We recommend that ILR files are uploaded as compressed files; compressed files, sometimes referred to as archives or .zip files, contain a version of the ILR data that is significantly smaller than the uncompressed XML file. Upload times for compressed files are shorter, which benefits all providers and contributes to maximum reliability of the service.
113. Each compressed file should contain one ILR XML file only. The file must not be encrypted or password protected. The name of the .zip file should be the same as the name of the XML file but with the extension .zip instead of .xml.

### **3.3.2 ILR file transmission**

114. Your file transmissions must contain all Learner records, Learning Delivery records and Learner Destination and Progression records for all learners across all funding models for the year to date, for that ILR return.
115. Each file you submit to the Hub overwrites all previously submitted records from your organisation. This means that you cannot split your data into separate files and transmit each file separately. You cannot send records for learners funded from different funding models in separate files as these will overwrite one another.
116. Destination and Progression data cannot be sent in a separate file to Learner and Learning Delivery data: doing so would cause the Learner and Learning Delivery records to be deleted from the ILR database.
117. You must submit a single file containing all of your learner, learning and destination records for all funding models, for the year to date.
118. Take care to ensure that data is not overwritten in error: reports such as the 'Rule Violation Summary Report' are useful for checking that the expected number of learners and learning delivery records are in your file.
119. Once you have submitted a file to the Hub it cannot be deleted, if the file contains incorrect data this can only be corrected by submitting another ILR file to overwrite the incorrect one.
120. The last file you submit prior to the close of an ILR return will be the one loaded into the national database for that particular return.
121. You may need to use the amalgamation facility in the Funding Information System (FIS) in order to create a single ILR file containing all learner records for all funding models.

### **3.3.3 The impact of incomplete information**

122. If you sent ILR data that contains incomplete, incorrect or omitted data, this may result in the learner record not being accepted onto the national ILR database. It is essential that ILR data is completed and returned promptly, fully and accurately.
123. Any data for individual ESFA funded learners that is not accepted by the national

ILR database will mean that the Provider Funding Report (PFR) will not show the learner's details and may result in non-payment or clawback of funding in that period for providers paid on actuals.

124. Funding calculations and provider payments for all ESFA funded learning aims are based directly on the data provided in the ILR. Inaccurate or late information may result in payments not being made.
125. You must ensure that all documentation relating to the enrolment of the learner and the record of learning activity is completed accurately and conforms to the eligibility rules of the appropriate type of learning. Funding compliance actions may be taken by the ESFA if your data and documentation do not support the eligibility of a funding claim.

#### **3.3.4 The Funding Information System (FIS)**

126. The FIS is a standalone piece of software produced by the ESFA that you can download from the Hub.
127. The software contains the ILR Validation rules and allows you to check your ILR data before sending it to the Hub. The FIS also contains most of the funding calculations for the ESFA and a number of funding reports which may be run and exported based on your data.
128. The funding reports generated by the FIS are indicative reports. Please note that, in some cases, the results of the funding calculation for Funding model 36 may be incorrect because not all data required to accurately calculate funding can be made available in the FIS. You should refer to the Hub for your actual earnings and payments reports.
129. Some validation rule checks are not included in the FIS and only take place when data is uploaded to the Hub. These are rules that check external tables, such as the Unique Learner Number (ULN), Employer identifier and postcode validation.
130. The FIS includes a facility to amalgamate separate files to create a single XML file for all of your learners and learning delivery.
131. Documentation about the FIS including installation/uninstallation instructions and user guidance is available on GOV.UK.

#### **3.3.5 Combining ILR files: amalgamation**

132. If you have multiple MI systems across your organisation you will need to combine the ILR data from these separate systems into a single ILR file before you submit it to the Hub. For example, you may hold apprenticeship learners and learning aims in a separate system to Adult skills funded learners and learning aims, or have multiple internal departments that hold data separately. If this is the case, you will need to amalgamate these separate files into a single ILR file for submission to the Hub.
133. The FIS includes an amalgamation facility to combine multiple files to create a single XML file for all learners. You can also use your own software to create a single file.

134. The amalgamation facility in the FIS joins together records from multiple ILR files for learner records that have the same Learner reference number. For the records to be successfully combined into a single learner record, all the data in the Learner fields on all of the records must be the same. Any conflicting learner data will result in an amalgamation error which will need to be corrected. For example, if the Date of birth has been incorrectly recorded on one record and does not match the Date of birth on the other record then an amalgamation error will be generated and the records will not be combined.
135. Where data for the same learner is held in separate systems but with different Learner reference numbers, you should combine these into a single learner record. If you merge two or more records for the same learner, you may use any one of the learner's previous Learner reference numbers.
136. Any changes to a learner's Learner reference number from one ILR year to the next must be recorded using the Learner reference number in previous year field. This will enable data matching over multiple ILR years for a learner to be carried out for purposes such as achievement rate calculations. See the ILR Specification for 2018 to 2019 for further details and collection requirements for this field.

### **3.3.6 Data validation**

137. ILR data is subject to validation checks to help ensure that the data received by the ESFA is accurate and complete. ILR files are validated at the point of transmission to the Hub or through the FIS against both the XML schema definitions and validation rules.
138. If any data fails the validation checks, then the learner record and all associated records for that learner are rejected. Rejected records are not loaded into the national ILR database and do not generate funding; these records are reported on the rule violation report.
139. The FIS does not run all validation checks: rules that rely on external tables such as postcode or Unique Learner Number tables are not included in the FIS. These checks only take place when you upload data to the Hub.
140. The ILR validation rules document includes details about the error condition for each rule and the ILR data it checks. The validation rule document includes a column named "Hub Only", which identifies rules that are not included in FIS and are only run when data is submitted to the Hub.

### **XML schema validation**

141. XML schema validation ensures that your file is in the correct format and that the data complies with the definitions in the ILR specification. There are two stages to the XML schema validation
142. Stage 1: The ILR file is checked for the following:
  - That the XML is well-formed. Well-formed means that the file adheres to XML's strict syntactical rules for open and close tags and the nesting of data elements

- Elements are presented in the expected sequence, as defined in the schema
  - An element conforms to its data type. Examples of this would include where a numeric item contains alpha characters, or where a date contains invalid values
143. If any part of the file fails any of these checks, then the whole file will be rejected and not processed further, the errors will be reported on the rule violation report.
144. Stage 2: The individual elements (fields) within the file are checked for the following:
- All mandatory fields have been returned
  - Field lengths are adhered to
  - Data patterns are adhered to
145. If a field fails any of these checks, then the learner record, and associated records for that learner only, will be rejected, reported on the rule violation report and not processed further.
146. The published XML schema contains all the definitions and requirements for both stages of schema validation.
147. Schema errors are reported on the rule violation report, however, the error messages generated are generally briefer than those for other validation errors.
148. Only learner records, and associated records for that learner, that have passed schema validation will be passed through to the validation rules.

### **Validation rules**

149. The final data checks are made by applying the validation rules, which include business validation and funding eligibility checks.
150. **Validation errors** are produced where data does not make sense or cannot be correct. You will need to correct any records that produce validation errors.
151. If any part of a learner or associated learning delivery record triggers a validation error, then the learner and all of their learning delivery records will be rejected and not processed further. Only valid learner records are loaded into the national ILR database.
152. Validation errors are reported on the validation error reports which are produced on the Hub and in the FIS. You should check these reports after uploading an ILR file. Validation errors that start “FD\_” indicate data that is breaking schema restrictions. You should check this data against the definition of the field in the ILR specification.
153. All learning aims returned for a learner must be valid, regardless of the type of funding. For example, if funded learning aims are included alongside non-funded aims in a return at the start of the year, then all of these aims must be valid in order for the learner records to be accepted.

154. **Validation warnings** are produced where the data is unusual or where the data is allowed under certain circumstances. Records that produce warnings are loaded into the national database, however you should check these records to ensure the data is correct.

### **Postcode validation**

155. It is important that postcodes are correctly formatted, this includes the space between the two parts of the postcode. Postcodes with two spaces will fail validation when the data is uploaded to the Hub.
156. Most postcode fields in the ILR are mandatory fields and cannot be left blank. For mandatory postcode fields, if the postcode is unknown or does not apply then a value of ZZ99 9ZZ should be recorded.
157. **For ESF funded learning (Funding model 70) the correct delivery location postcode must be used. ZZ99 9ZZ must not be used.**

### **Monitoring the funding rules**

158. As part of financial assurance processes, we review how the funding system and funding rules are operating to identify possible errors in funding claimed and areas requiring further investigation. The outcomes of this also allow us to confirm that policy specifications are working and achieving the desired outcome(s). As part of this funding monitoring process, we also aim to improve the overall quality of the data being reported to the ESFA.
159. The funding monitoring plan lists the current areas that are being monitored during the course of the funding year. You can access regular monitoring reports through the Hub which will highlight any potential issues to you.
160. If we identify records in a monitoring area, you must review this data to investigate and determine whether you need to make any data corrections in your next ILR submission. Where there is an explicit statement of the action you must take, then you must comply with this guidance: actions to take can be found within the funding rules, ILR guidance or the monitoring reports user guide.
161. If you have data errors at the end of the funding year that have not been corrected by the R14 ILR hard close, the following actions may be taken:
- Funding recovered where funding has been claimed in error,
  - Assurance visits conducted for specific issues before the end-of-year reconciliation statements are issued, and/or
  - Issues used to inform the monitoring process for selecting providers for audit in future funding years.
162. Further details and guidance documents about funding monitoring can be found on the ESFA financial assurance webpage.

### **Provider data self-assessment toolkit**

163. The provider data self-assessment toolkit (PDSAT) produces a suite of reports to test the integrity of ILR data in order to assist you with identifying potential



anomalies or errors in your data.

164. Within the suite, the ESFA includes reports that enable providers to identify errors relating to its monitoring of the funding rules. The ESFA uses a similar set of reports to routinely monitor the ILR data, to identify potential errors, and for assurance that providers are complying with the funding rules.
165. We encourage you to use the PDSAT frequently throughout the year as part of your routine data cleansing, for identifying errors and preparing for financial assurance visits. PDSAT is designed to give you a toolkit to review your ILR data and to assist auditors in the audit of providers' data.
166. The current PDSAT download and guidance can be in section 14 'Related Links to Documents and Information'.

### **3.3.7 Earnings adjustment statement (EAS)**

167. The Earnings Adjustment Statement (EAS) is an online process that providers can use to claim ESFA funding that is not reported on the ILR.
168. The ESFA funding rules give further information on categories within the EAS and their evidence requirements.
169. The EAS is available for collection periods corresponding to the 12 months of the funding year. Funding for period 1 is added to funding from the ILR from August on the Funding Summary Report, period 2 funding is added to funding from the ILR for September, and so on. The total amount of funding claimed in each of the collection periods' EAS will be summarised to calculate the total for the funding year.
170. There are different expectations on how regularly EAS returns are submitted depending on whether the return is for a contract-funded provider or a grant-funded provider. See the EAS guidance for further details.

## **3.4 When do I send data to the ESFA?**

171. ILR data must be returned according to the data collection timetable in *Appendix A of the ILR Specification*.
172. The ILR timetable sets out:
  - The return date by which you must send complete data for the purposes described in the timetable
  - The data uses and purpose of the return
  - Which types of provider need to send data for each particular return
173. The return date in the timetable is the hard close date for including data in the national database for that return and represents the last opportunity to send data for each return. You must ensure that the data held on the national database is complete and fit for purpose by these dates.
174. **You must ensure that the data held by the ESFA is up-to-date for the purposes described in the timetable by 6pm on the fourth working day of the**

**month.** Any data sent after 6pm on the return date will not be processed for the purposes of that particular return.

175. Where the timetable includes a 'reference date' for any particular return, your ILR data must accurately describe all provision delivered up to and including this date. You may include data for provision delivered after the reference date. For returns that do not have a reference date, you must return new starters, leavers and changes in a timely way.
176. ILR timeliness requirements:
  - New starts must be reported within 2 reporting months of their start date
  - Achievements must be reported within 3 reporting months of the point of achievement
177. The type of provider you are determines what data returns are required. In broad terms, FE colleges are required to send data on a quarterly basis and training organisations on a monthly basis, however there are exceptions to this.
178. Data is required monthly from all providers for the following. You must ensure that the data is complete and error-free for:
  - ESF funded learning
  - 16-18 apprenticeships (frameworks and standards)
  - 19+ apprenticeship standards
  - Apprenticeships started on or after 1 May 2017 (Funding model 36)
179. FE colleges and other grant funded providers must decide for themselves what data is sent in addition to the data essential to meet that required for any particular return date. The data required monthly (detailed above) must be complete and error free while data for other provision that is sent in the same file can be incomplete and contain errors.

## Section 4 Completing the ILR: guidance for all provision

### 4.1 What to include

180. You must include on the ILR all learners who have attended one episode of learning.
181. Aims that are completed or withdrawn during the current ILR year (Completion status =2 or 3 and Learning actual end date is on or after 1 August 2018 and before 1 August 2019)
182. If a learner withdraws without completing one episode of learning – for example, without attending the first class – then they must not be included on the ILR.
183. Your ILR returns must include all aims that meet the criteria below, and any aims for the previous year that have since been corrected.
184. Any aims reported as continuing in the final return (R14) for the previous year that are not reported in the current year will be treated as withdrawn in the qualification achievement rates (QARs).
185. Details about migrating data from between years can be found in Appendix B of the ILR specification, including details about changes that may affect learners continuing from the previous year and those learners on a break in learning.
186. Migration is the process by which ILR data is converted from one academic year to the next.

#### Aims that are part of a traineeship or apprenticeship programme

187. The current ILR must also include the following that are part of a traineeship or apprenticeship programme:
  - Programmes where the programme aim is completed (Aim type = 1, Completion status = 2 and Learning actual end date is completed) and the learner is continuing with an English or maths aim

##### 4.1.1 Completing the final return for the current year

188. The final ILR return for the current year allows you to send details of the outcomes of learning aims that were completed up to and including 31 July.
189. Your final ILR return must include all Learner, Learning Delivery and Learner Destination and Progression data that has been returned during the year, including all records as described above and any records that have been amended during the year (for example, to correct data errors).
190. Achievement funding and Job outcome funding for learning aims funded through the Adult skills funding model that are completed in the current year will only be paid if the achievement is reported in the current year.
191. The following should not be returned in the final ILR return for the current year, but should be returned in the following year:
  - Learning aims that start after 31 July 2019

- Actual end dates after 31 July 2019
- Achievement dates after 31 July 2019

## 4.2 Learner details: completing the Learner entity

192. The data recorded in the Learner entity contains basic information about the learner such as their name, date of birth, sex and ethnicity.
193. You can only return one record on the Learner entity for each learner.
194. The learner's name, date of birth and sex should match the data held by the Learning Records Service (LRS). If any of the learner's details change, this should be recorded on the ILR and the data held by the LRS updated.
195. The following entities contain data that may not be required for all learners. See the individual field pages in the specification for data requirement details.
- Contact Preference – indicates the learner's wishes about contact for marketing, research and survey purposes
  - LLDD and Health Problem – additional information about a learner's disabilities, learning difficulty and/or health problem
  - Employment Status and Employment Status Monitoring – monitoring of a learner's employment status
  - Learner Funding and Monitoring – additional data to support funding and learner monitoring
  - Learner Provider Specified Monitoring – additional provider data used as required and specified by the provider
  - Learner HE and Learner HE Financial support – HE data fields

### 4.2.1 Learner reference numbers

196. You must allocate a Learner reference number to each learner. This Learner reference number must be unique for each learner and must remain allocated to the learner for all study with you including during periods of absence. A learner should not be allocated more than one Learner reference number.
197. You must never reuse a Learner reference number for a different learner.
198. Changes to the Learner reference number between years for continuing learners should be avoided if at all possible.
199. If a change to the learner reference number is unavoidable and a learner's reference number is different from the previous year, you must complete the Learner reference number in previous year field to record the learner's previous reference number.
200. In addition to allocating a Learner reference number, you should also obtain a Unique Learner Number (ULN) for each learner from the Learning Records Service. This is mandatory in the ILR for the majority of funded learners.

#### 4.2.2 Campus identifier

201. This is a new field for 2018 to 2019. This field records the identifier of a college that is part of a college group and not a legal entity, or a campus (delivery site) that is subject to separate reporting.
202. This field should only be returned where you have been instructed to do so by the ESFA.

#### 4.2.3 Off-the-job training hours

203. This is a new field for 2018 to 2019. This field is the cumulative total of actual off-the-job training hours (as defined in the funding rules) delivered to date, to the individual apprentice, in the academic year by the training provider, sub-contracted training providers and the employer.
204. This field is optional for providers to complete on the ILR. If completed this field is recorded to the nearest whole hour and should be updated monthly.

#### 4.2.4 Ethnicity

205. When collecting data about learner ethnicity, we advise using the code sequence and layout below on your enrolment forms. This is designed by the Office for

##### **White**

- 31 English / Welsh / Scottish / Northern Irish / British
- 32 Irish
- 33 Gypsy or Irish Traveller
- 34 Any Other White background

##### **Mixed / Multiple ethnic group**

- 35 White and Black Caribbean
- 36 White and Black African
- 37 White and Asian
- 38 Any Other Mixed / multiple ethnic background

##### **Asian / Asian British**

- 39 Indian
- 40 Pakistani
- 41 Bangladeshi
- 42 Chinese
- 43 Any other Asian background

##### **Black / African / Caribbean / Black British**

- 44 African
- 45 Caribbean
- 46 Any other Black / African / Caribbean background

##### **Other ethnic group**

- 47 Arab
- 98 Any other ethnic group
- 99 Not provided

National Statistics (ONS) to maximise correct completion.

#### 4.2.5 Planned learning hours

206. This field collects the total planned timetabled hours for learning activities for the teaching year. This field is completed at the start of the year or programme, and updated annually.
207. If a learning aim continues across more than one teaching year, the Planned learning hours field only records the planned hours for that teaching year (from 1 August until the following 31 July).
208. It is collected for all learners with learning aims funded by the funding models below, except for apprenticeships: planned learning hours are not collected for apprenticeship programmes.
- 16-19 funded (Funding model 25)
  - Adult skills funded (Funding model 35)
  - Other Adult skills funded (Funding model 81)
  - Community Learning funded (Funding model 10)
  - Non-funded (Funding model 99)
209. For learners who are undertaking a 16-19 funded study programme, the planned hours fields are only updated in-year if the planned hours for a study programme change within the first 6 weeks. See section 8.1.1 for more information on changes to planned hours.
210. For learners with only Adult skills funded aims, this field can be updated in-year where a learner progresses to subsequent learning in the same teaching year.
211. If a learner has learning aims that are both 16-19 and Adult skills funded during a single teaching year, then only the planned hours for the 16-19 funded learning are recorded in the Planned learning hours field. The Planned employability, enrichment and pastoral hours field is also completed.
212. If a learner progresses from a 16-19 study programme or traineeship onto an Adult skills funded aim or apprenticeship in the same ILR year, then the hours fields must not be amended. Only the hours for the 16-19 funded aims must be returned.
213. If a learner has a mixture of apprenticeship and non-apprenticeship learning aims planned at the start of the teaching year (or start of learning), then only the planned hours for the non-apprenticeship learning aims are recorded.

#### **Examples**

- *A learner starts an aim on 1 September 2018 with a planned end date of 1 April 2020. The Planned learning hours field for 2018 to 2019 will record the planned hours for the period 1 September 2018 until 31 July 2019. The Planned learning hours field for 2019 to 2020 will record the hours remaining from 1 August 2019 to 1 April 2020.*
- *A learner starts a learning aim on 1 September 2018 with a planned end date of 31 July 2019, and is planning to start a second aim on 1 December 2018. The Planned learning hours field records the total planned hours up to and including 31 July 2019*

for both aims.

- A learner started a learning aim on 1 September 2017 with a planned end date of 14 July 2018. The learner did not finish the learning aim on the Learning planned end date and will continue in learning in the 2018 to 2019 year. The planned hours fields must be completed in 2018 to 2019 with the remaining hours that are planned to be delivered in 2018 to 2019 to enable the learner to complete the learning aim. If the learner is 16-19 funded and the total planned hours for 2018 to 2019 is less than 540, then an employment status record must also be returned.

214. Where data is migrated into the current year but all of the learner's aims are closed, then the planned hours fields must not be returned unless the learner is undertaking additional aims in the current year that meet the collection requirements for these fields. Do not return a value of zero if the learner is not undertaking any provision in the current year that requires the planned hours fields to be returned.

### **4.3 Recording learner contact details**

215. The following contact information is collected on the ILR:

- Postcode prior to enrolment
- Current postcode
- Current Address lines 1-4
- Current Telephone number
- Current Email address

#### **4.3.1 Postcode prior to enrolment**

216. The Postcode prior to enrolment is completed when the learner first enrolls on a programme of learning with a provider. It should be updated if the learner moved house during their programme of learning (which includes between teaching year if the programme of learning extends over more than one teaching year).
217. The Postcode prior to enrolment is used to calculate disadvantage funding, you must ensure that this field is not changed to influence funding for learning aims that are already in progress.
218. If the learner progresses to a new programme of learning, then the Postcode prior to enrolment should be updated if applicable.

### **4.4 Recording learner contact preference**

219. Data collected in the Learner Contact Preference entity is used to record any restrictions on the use of the learner's record to contact them about learning opportunities or for survey and research purposes. It also details any restrictions on what methods can be used to contact the learner, for example: telephone, email or post.
220. For 2018 to 2019 the Contact Preference codes have changed to 'opt in' preferences. It is important that learner contact preferences are captured using the

questions illustrated in Appendix F.

221. When these learners are returned in the 2018 to 2019 ILR, the learner records will need to be amended to reflect the new codes to opt in.
222. The contact preference requirements from the 25th May 2018 are as follows:
- If a learner starts on or after 25 May 2018 and before 1 August 2018 they are recorded on the 2017 to 2018 ILR as normal.
  - Providers must capture whether the learner has opted in to allow their data to be shared. This data however is not returned on the 2017 to 2018 ILR.
  - When these learners are returned in the following year (2018 to 2019), the learner records will need to be amended to reflect the learners actual preference to opt in or not.
223. The contact preferences captured on the ILR do not apply in the following two circumstance:
- Where learners may be contacted as part of a sampled survey to inform the effectiveness of the ESF 2014 to 2020 Programme. This only applies to ESF funded learners and Adult skills funded learners who could be used as match for the ESF Programme (including 16-18 apprenticeships on Funding model 35).
  - Where providers need to contact learners to collect Destination and Progression data. The only exception to this is where the Contact preference is recorded as 'Learner is not to be contacted' (RUI code 3, 4 or 5).

#### **4.5 Recording learner learning difficulties, disabilities (LLDD) and health problems**

224. Data collected in the LLDD and Health Problem entity is used to collect details about the nature of the learning difficulties, disabilities and health problems of the learner.
225. This entity contains the following two fields:
- LLDD and health problem category
  - Primary LLDD and health problem
226. The LLDD and health problem data is completed on the basis of the learner's self-assessment. A learner may record as many categories as apply.
227. The Primary LLDD and health problem field must be returned against one of the LLDD and health problem records. The Primary LLDD and health problem field is used to indicate the most significant or primary learning difficulty, disability or health problem that impacts on the learner's education. This indicator must only be returned against one of the LLDD and health problem records for each learner.
228. The Primary LLDD and health problem field is not completed where the LLDD and health problem category is returned as code 98 'Prefer not to say' or code 99 'Not provided'.



## Example

A learner has social and emotional difficulties and also dyslexia. Dyslexia has been identified as the primary difficulty affecting the learner's education.

Two LLDD and Health Problem records are returned: one recorded with a category of code 1 'Social and emotional difficulties', and the other with a category of code 12 'Dyslexia'.

The Primary LLDD and health problem indicator is returned against the record with category code 12 'Dyslexia'.

The XML for these LLDD and Health Problem records is as follows:

```
<LLDDandHealthProblem>
  <LLDDCat>1</LLDDCat>
</LLDDandHealthProblem>
<LLDDandHealthProblem>
  <LLDDCat>12</LLDDCat>
  <PrimaryLLDD>1</PrimaryLLDD>
```

## 4.6 Recording Learner Funding and Monitoring

229. Data collected in the Learner Funding and Monitoring entity is used to identify additional attributes of the learner to inform funding or for additional monitoring.
230. The Funding and Monitoring (FAM) type identifies the type of data to be collected and is recorded with an associated FAM code. Both a FAM type and FAM code are required for this data to be unique.
231. The ILR Specification gives further details on when FAM data should be returned.

## 4.7 Employment status

### 4.7.1 Agreement identifier

232. This is a new field for 2018 to 2019. The agreement identifier is a unique number that is automatically generated and displayed when an employer signs their employer agreement within their apprenticeship service account.
233. In the 2018 to 2019 funding year, training providers will need to enter the identifier for any levy-funded apprenticeships in their Individualised Learner Record (ILR) returns. This will need to be done for any new starts and for all current apprentices that started before August 2018.
234. Training providers will be able to view the identifier within the "Apprentice" section of their training provider account on the Apprenticeship Service.
235. Employers will be able to see their agreement identifier within the "Your organisations and agreements" section of their account within the Apprenticeship Service and can supply the number to their training provider once it is available.
236. The agreement identifier will be displayed against each organisation (legal entity) that signs an employer agreement. This will be displayed in the "Your organisations and agreement" section of their account.

237. If the agreement has already been signed then the agreement identifier will be displayed automatically.
238. This field is returned on the employment status record with the start date of the apprenticeship programme. If the agreement ID changes through the lifetime of the programme (for example, if the employer changes) a new status record must be added with the changed agreement identifier and a new ACT record would be required against the learning aim.
239. If a new employment status is added to the same programme, only record the agreement identifier if it has changed. For example, if the employer changes. There is no need to return the agreement identifier if it remains the same to the new employment status record.

#### 4.7.2 Employment status

240. The Employment status field describes the learner's employment status and has the following categories:

Code	Description
10	In paid employment
11	Not in paid employment, looking for work and available to start work
12	Not in paid employment, not looking for work and/or not available to start work
98	Not known/not provided

241. Employment status is required for ESF match funding so you must only return an employment status of "Not known/not provided" (code 98) in exceptional circumstances.

#### Date employment status applies

242. Each employment status record must have an associated Date employment status applies.
243. There can only be one record for any given date and therefore only one employment status for a learner on any given date.

#### Employer identifier

244. The Employer identifier must be recorded for every learner who is employed at the start of learning and is undertaking an apprenticeship or ESF funded learning aim.
245. If the learner is unemployed at the start of an apprenticeship programme and subsequently becomes employed, then a new record must be returned with the Employer identifier.
246. If a learner was employed with a different employer prior to starting their apprenticeship programme, then a new record must be returned with the Employer identifier of the new employer with whom they are undertaking the apprenticeship.
247. A valid Employer identifier from the Employer Data Service (EDS) must be obtained if the apprentice is employed at a school or academy.

248. Please use the Employer identifier of the school if this is the learner's place of work and not the Employer identifier as the local authority.

### Employment status monitoring

249. The Employment Status Monitoring fields should be completed with the relevant monitoring type where applicable.
250. For 16-19 funded learners, only the Employment intensity indicator (EII) must be completed. No other employment status monitoring is required for these learners.
251. There are seven Employment status monitoring types, the details of when you should return these is illustrated in the table below:

			Employment status				
			10	11	12	98	
Employment Status Monitoring Type	SEI	Self-employment indicator	√ If applicable	-	-	-	
	EII	Employment intensity indicator	√	-	-	-	
	LOU	Length of unemployment	-	√	√	-	
	LOE	Length of employment	√ Returned for all apprentices	-	-	-	
	BSI	Benefit status indicator	If applicable				-
	PEI	Previous education indicator	If applicable				-
	SEM	Small employer	√ If applicable: apprenticeships only	-	-	-	

#### 4.7.3 Recording employment status

252. Data about a learner's employment status is collected in the ILR to demonstrate how the FE sector is contributing to improving the employability of the learners. This data is also used to monitor funding eligibility and so care must be taken to ensure that employment status records are completed accurately.
253. An Employment status record must be created for all adult learners, apart from OLASS funded learners and those with only Community Learning funded learning aims. Employment status records are required for all apprenticeship and ESF funded learners of all ages.
254. 16-19 funded learners on part-time programmes of study (with less than 540 planned hours in the teaching year) must have an Employment status record. This

record must include the Employment intensity indicator (EII) type and relevant code in the Employment Status Monitoring fields.

255. Data about a learner's employment status prior to enrolment must be collected in all cases when a learner first enrolls with a provider. There is no defined time period for "prior to enrolment", unless defined by the learner's programme. If there is any doubt as to what should be recorded, you are expected to use your judgement based on the individual learner's circumstances.

### **Examples**

*If a 16-year-old has left education in July and enrolled on a course the following September, they would be classed as previously in education.*

*If a learner is employer and has been on holiday or otherwise temporarily away from a job prior to starting a learning aim, they should be classed as being 'In paid employment'.*

256. The Employer identifier field is not collected for an Employment status prior to enrolment, unless the learner is entering into an apprenticeship with that employer.
257. You should only send records that relate to a learner's current learning. You must ensure that the 'Date employment status applies' of the earliest Employment status record is before the earliest learning aim start date (from the Learning start date or, if completed, the Original learning start date) recorded for the learner.
258. You should not send historic employment status records that have a 'Date employment status applies' that is earlier than the employment status record that applies immediately before the earliest learning aim start date for the learner. You must return all employment status records with a date subsequent to this.
259. For traineeship work placements, data about the work placement employer must be recorded in the Work placement record.

#### **4.7.4 Collecting employment status data**

260. It is recommended that you collect learner employment status data through the use of a number of layered questions, similar to the approach taken for surveys. If possible the questions should be asked in person during enrolment. An example of layered questions is provided below, the ordering of these questions is important, i.e. Q1 must be asked first.

#### **Example of layered question approach**

- Q1) *Did you do any paid work before joining the course, either as an employee or as self-employed?* Yes/No
- Q2) *You said you were not doing any paid work before this course – were you looking for paid work?* Yes/No
- Q3) *Which of the following types of benefit are you claiming?*  
*Jobseekers Allowance*  
*Employment Support Allowance (Work Related Activity Group)*  
*Universal Credit*

*Any other state benefit (includes all state benefits not just those related to unemployment)?*

Q4) *How long have you been out of work?*

*Either provide the bands on the ILR or let learner give a number and define bands later*

Q5) *You said you were doing some paid work – in your main job, were you?*

*An employee*

*Self-employed*

Q6) *How many hours per week do you work?*

*Either provide the bands on the ILR or let the learner give a number and define bands later*

Q7) *For apprentices only: How long have you been in employment with your current employer prior to starting your apprenticeship?*

*Either provide the bands on the ILR or let learner give a number and define bands later*

Q8) *Were you in full-time education before starting this course? Yes/No*

### **Updating the employment status**

261. New employment status records should be added for a learner in the following circumstances:

- For all learners with employment status records, if there is a change in a learner's employer, employment status or employment status monitoring (for example, a change in the learner's benefit status) during their learning or at the start of a new learning aim or programme
- For 16-19 funded learners, at the start of each teaching year if the details have changed since the previous teaching year

262. If there has been no change in the learner's employment status, employer, or employment monitoring since the previous employment status record was added then a new record does not need to be returned.

263. Where the only change since the previous employment status record is the length of employment (LOE) or length of unemployment (LOU), then a new employment status record does not need to be added.

264. A learner may undertake several learning aims within a single learning agreement or plan, there is no need to review or add new employment records at the start of each aim.

265. Validation rules prevent consecutive employment status records being returned where the only change since the previous record is the Date employment status applies.

#### **4.7.5 Learner eligibility**

266. You must ensure that the learner meets any employment related eligibility criteria for the learning aims being undertaken and that the learner's employment and benefit status prior to starting their learning is recorded accurately.
267. The ESFA will use the employment status data to monitor funding eligibility for adult skills fully funded learning as follows:
- Learners in receipt of Job Seekers Allowance (BSI code 1) or Employment and Support Allowance – Work Related Activity Group (BSI code 2) are eligible for full funding
  - Learners in receipt of Universal Credit (BSI code 4) are eligible for full funding where they are determined by Jobcentre Plus (JCP) as being in one of the following groups: All Work-Related Requirements Group, Work Preparation Group, or Work-Focussed Interview Group

#### **4.8 Recording learning aims: completing the Learning Delivery entity**

268. The Learning Delivery entity contains information such as learning start and planned end date, funding information, and learning outcome.
269. For certain types of programme (as listed in the Programme type field), a Learning Delivery record is returned to describe the programme being followed. This is known as the 'programme aim'. The programme aim contains information about the overall learning programme being followed and comprises a subset of data fields required for a learning aim.
270. The following entities, linked to the Learning Delivery entity, contain data that may not be required for all learners:
- Learning Delivery Funding and Monitoring – additional data to support funding and learning delivery monitoring
  - Learning Delivery Work Placement – additional data about work placements/work experience learning aims
  - Apprenticeship Financial Record – additional data to support funding for apprenticeships
  - Learning Delivery Provider Specified Monitoring – additional provider data used as required and specified by the provider
  - Learning Delivery HE – HE data fields

##### **4.8.1 Recording programme aims**

271. A programme aims must be recorded for the following programmes:
- Traineeships
  - Intermediate-level, Advanced-level, and Higher apprenticeship frameworks
  - Apprenticeship standards

272. A programme aim is not recorded for a 16-19 funded study programme unless it is a traineeship.
273. The Aim type field distinguishes programme aims from other learning aims. Programme aims must be recorded with Aim type code 1 and Learning aim reference code ZPROG001
274. The programme aim records the start date, planned end date, actual end date, and completion and outcome data relating to the overall programme. For apprenticeship standard programmes, the Learning planned end date includes both the training and the end point assessment period.
275. Not all Learning Delivery fields need to be returned for a programme aim.

#### **4.8.2 Searching for learning aims**

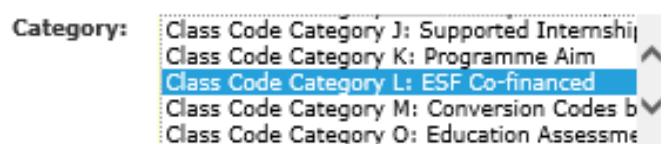
276. The LARS database holds information about learning aims and their validity, as well as funding data where applicable. It is maintained by the ESFA. Updates to the database are made regularly. It can be downloaded or searched online using the Learning Aims search facility on the Hub.
277. Each learning aim on the database has a reference code that is used to record it in the Learning aim reference field on the ILR. The database holds all the learning aim specific information that you will need.
278. A form to request a new HE learning aim is available on GOV.UK. This form is not required to request the addition of a unit into the LARS database for non-funded learning; you should raise a call with the Service Desk and give them the Ofqual reference number of the unit required.
279. You can record a learning aim on the ILR once it has been accredited by the awarding organisation and approved for funding.
280. The validation rules will only allow aims with start dates after the funding validity start date and before the last date for new starts in the LARS database to be recorded.
281. You should ensure that the Learning start and Learning planned end dates for the learning aim are within the validity start and end dates in the LARS database.

#### **4.8.3 Recording non-regulated provision**

282. In 2018 to 2019 the Appendix H of the ILR Specification has been replaced with 'Learning Aim Class Codes' (located in Section 14 Related Links to Documents and Information section).
283. This details how non-regulated provision should be recorded. Generic learning aim references are used to record non-regulated provision or in a small number of circumstances for regulated learning for which there is no other learning aim reference listed in the LARS database.
284. Please note:
- You should only use non-regulated provision in areas already identified and agreed by the ESFA as detailed in the published funding documentation.

- The LARS database holds details of all learning aims but their funding eligibility is determined by the funding policies of the ESFA.

285. The full set of generic learning aim codes can be found in the LARS database.
286. You should only use generic learning aim codes if there is no appropriate, regulated qualification learning aim available for the learner.
287. The generic learning aims have sequential numeric codes prefixed by the letter 'Z', these generic learning aim references are also known as class codes. You will need to search the LARS database using the sector subject area, level and, where applicable, funding band to identify the correct code to use.
288. For example, the learning aim code Z0001543 is for the following learning aim: Non regulated Adult skills formula funded provision, Entry Level, Preparation for Work, 101 to 196 hrs, PW A
289. You can search for class codes using the Learning Aims search on the Hub; the Category search filter (see screenshot below) can be found within the 'Additional filters' section on the Learning Aims search page.



290. The example in the image above shows the Category L class code highlighted. This search will produce all of the learning aims that are available within Category L.

#### 4.8.4 Recording proxy learning aims

291. If there is a delay with the publication of information in the LARS database for a learning aim code that had been accredited by the awarding organisation, then you can temporarily enter the nearest equivalent aim code (in terms of type of provision and funding rate) into the Learning aim reference field.
292. Code LDM118 must be recorded in the Learning Delivery Funding and Monitoring fields for this aim to indicate that the learning aim reference recorded is being used as a proxy for the actual learning aim that is being undertaken.
293. Once the actual learning aim reference is published, you must update the code recorded in the Learning aim reference field and remove code LDM118 from the Learning Delivery Funding and Monitoring fields.
294. In all cases, the proxy aim details must be removed and the actual aim details recorded before the end of the teaching year or before the learner completes or withdraws from the learning aim, otherwise the data will be rejected.
295. There is no guarantee that aims accredited by the awarding organisation will be approved for funding, so you should use proxy learning aims with caution.

#### 4.8.5 Subcontracted or partner UKPRN

296. The Subcontracted or partner UKPRN field is completed where you are the lead provider and any part of the aim is subcontracted.
297. Where the individual parts of the aim are subcontracted to numerous providers,



the UKPRN for the provider delivering the greatest proportion of the aim should be recorded in this field.

298. If the subcontracting partner changes, this field should be updated with the new subcontractor's UKPRN. No other changes to the record are required. Do not record this as an aim transfer.
299. If the subcontractor is no longer delivering the aim, then the aim must be closed on the subcontractor's ILR return with an appropriate Withdrawal reason.
300. FE colleges who are delivering subcontracted aims on behalf of another provider should include these aims as non-funded learning (Funding model 99) on their ILR and do not complete the Subcontracted or partner UKPRN field.

#### **4.8.6 Additional delivery hours**

301. This field records the additional hours delivered for Adult skills funded and ESF funded ESOL units or qualifications where a learner needs additional learning to that funded through the applicable matrix rate.
302. The Additional delivery hours field may be used for approved ESOL units or qualifications and must not be used for non-regulated ESOL or any other ESOL qualifications.
303. For ESOL learning aims which start before 1 August 2015, the Additional delivery hours must not be returned.

#### **4.8.7 Funding adjustment for prior learning and Other funding adjustment**

304. The Funding adjustment for prior learning field should be completed with the proportion of the learning aim that is still to be delivered if the learner is not undertaking the full scope of the learning aim because of prior learning. This can be because of a break in learning, a transfer from another provider, or because of prior learning when they join as a new learner on a new learning aim.
305. If you are delivering all of the learning for the aim and no adjustment to funding is required, then the field is not returned.
306. If the learner is returning from a break in learning or has transferred from another provider, as identified in the ILR as a 'restart', then the adjustment is based upon the time they have been in learning as a proportion of the time originally planned for this learning aim. This is based on the percentage difference between the original planned duration and the proportion of that time that they have already been in learning. The funding adjustment is applied to the monthly funding instalments but not to the achievement element.
307. For a learner who starts a learning aim with prior learning and is not a restart, in other words they do not need to undertake the full scope of the learning, you must record the percentage of learning left to undertake. This calculation is at your discretion and you must retain evidence of the calculation for audit. It could, for example, be based upon the percentage of credits left to deliver, time left to deliver or learning left to deliver. The funding adjustment is applied to the monthly funding

instalments and to the achievement element.

308. The Other funding adjustment field must only be completed if requested by the ESFA with the amount required to increase or decrease the funding for the learning aim, for reasons other than prior learning. If no adjustment to the funding of the learning aim is required, then this field must not be returned. The ESFA will inform providers of the factor to be used in this field if required.
309. For Adult skills funded A levels, if a learner undertakes both an AS and an A level in the same subject, you will need to record a funding adjustment on the ILR for the A level to take into account the prior learning completed for the AS learning aim.

#### **4.8.8 Completion status**

310. The final ILR return of the year should be updated with a status of 'withdrawn' (Completion status code 3) for any learners who do not return for a second or subsequent year.

#### **4.8.9 Withdrawal reason**

311. There is a new withdrawal reason for 2018 to 2019. Use Withdrawal reason 47 when learners withdraw due to a merger.

### **4.9 Recording Learning Delivery Funding and Monitoring**

312. Data collected in the Learning Delivery Funding and Monitoring entity is used to identify additional attributes of the learning delivery to inform funding or for additional monitoring.
313. The Funding and Monitoring (FAM) type identifies the type of data to be collected and is recorded with an associated FAM code. Both a FAM type and FAM code are required for this data to be unique.
314. The Learning Delivery Funding and Monitoring entity is only required if any of the FAM type characteristics apply to that learning aim, please refer to the information on individual FAM types in the ILR specification for collection requirements.

#### **Examples**

- *A learner is on an Adult skills funded apprenticeship programme and employed by an Apprenticeship Training Agency (ATA), the learner is fully funded and undertaking an apprenticeship framework programme in Construction with learning delivered at a National Skills Academy.*

*The following FAM records would be returned on the programme and component aims:*

1. *Source of funding code SOF105*
2. *Full or co-funding indicator code FFI1*
3. *Learning delivery monitoring code LDM130*

*The following FAM record would be returned on the programme aim only:*

1. *National Skills Academy code NSA4*
- *A learner is funded through Community Learning and undertaking Wider Family*

*Learning. The following FAM records would be returned:*

1. *Source of funding code SOF105*
2. *Community Learning provision type code ASL4*

### **Restart indicator**

315. This must be used to indicate that the learner has restarted a learning aim or apprenticeship programme. The Restart indicator should only be used if the learner is returning to a learning aim they have previously started on, for example after a break in learning or if the learner has transferred from studying the same learning aim with another provider.
316. This indicator must not be used where the learner has transferred to a different learning aim or programme with either the same or a different provider.
317. If the learner has restarted their entire programme, then the Restart indicator must be recorded against the programme aim and all the learning aims within the programme that are restarted. If only one of the aims within the programme has been restarted, then the Restart indicator is only recorded against that aim.
318. For learners who have returned from a break in learning, you should record the Original learning start date in addition to the Restart indicator.

### **Learning support funding**

319. Learning Support is provided to help providers to work flexibly and provide supporting activity to meet the learning needs of learners with an identified learning difficulty and/or disability. This will enable these learners to achieve their learning goal.
320. The Learning Support Funding (LSF) FAM type should be recorded against one of the learning aims for learners who need learning support funding. For apprenticeship and traineeship learners, this is recorded on the programme aim record only.
321. For traineeship learners, once the Programme aim has ended the LSF is recorded against one of the remaining component aims if applicable.
322. For Apprenticeship Standards under Funding Model 36 the LSF FAM type can also be recorded against English/maths component aims. This is only the case where the English/maths component aim continues after the programme aim is closed, and the learner still requires learning support. This FAM type must only be recorded against one aim at any point in time.
323. The LSF FAM type is used by all types of providers for learning aims funded through the Adult skills funding model and for all funded apprenticeships (including FE colleges, local authorities and private training providers) and should be recorded for all learners who require learning support funding.
324. If the learner's LSF status changes during their learning, this should be indicated by using the Date applies from and Date applies to fields on the LSF FAM record. The learning aim should remain unchanged.

## Learning delivery monitoring

325. The Learning delivery monitoring (LDM) FAM type indicates participation in programmes or initiatives. The ESFA directorate responsible for running the project or pilot will inform providers involved of the code that should be used. This code should be used in addition to any existing codes being used as some codes are required for funding calculation and therefore may affect funding arrangements. A maximum of four codes are permitted in this field.

### Date applies from / Date applies to

326. The Date applies from and Date applies to fields must be completed when a Learning Delivery FAM type of Learning support funding (LSF) or Advanced Learner Loans Bursary funding (ALB) is recorded. These fields indicate when the funding is effective from and effective to.
327. When a Learning Delivery FAM type of Apprenticeship Contract Type (ACT) is recorded, the Date applies from must be completed. The Date applies to must only be completed if the learning aim has a Learning actual end date or if there is another ACT record with a later Date applies from.
328. If the status changes during the funding year, then new FAM records should be added with new corresponding dates. You do not need to close the learning aim and open a new one.

### Examples

- *A learner has a learning aim start date of 1 September in the current year and the learner is in receipt of Learning support funding for two months. A Learning Delivery FAM record will be recorded with a FAM type of LSF, the Date applies from will be recorded as 1 September, and the Date applies to will be 31 October.*
  - *If the learner received Learning support funding a month later, and is in receipt of the funding for three months, a second Learning Delivery FAM record of type LSF will be recorded with a Date applies from 1 December, and a Date applies to 28 February.*
329. If the Learning support funding or Advanced Learner Loans Bursary funding is required for the entire duration of the learning aim, then the Date applies to field should be completed with the Learning planned end date. If this changes and the Learning support or Advanced Learner Loans Bursary funding is no longer required until the Learning planned end date, then the Date applies to field should be updated with the new earlier date.
330. If the period of time recorded on the ILR is less than one calendar month, then you will need to claim the Learning support funding through the EAS as detailed in the Funding Rules.
331. If Learning support funding or Advanced Learner Loans Bursary funding is required beyond the planned end date of the learning aim, then the Date applies to field should be updated to reflect this.

## **Family English, Maths and Language**

332. The purpose for all Family, English, Maths and Language (FEML) learning aims is to support parents, guardians or carers, and their children's learning and improve their home environment. The full requirements for FEML learning aims can be found in the ILR Specification.
333. The Learning Delivery FAM type 'Family English, Maths and Language' (FLN) should be completed by providers only to record FEML learning aims that are delivered through the Adult skills funding model (Funding model 35).
334. Where FEML learning aims are funded through the Community Learning funding model (Funding model 10), providers must record this using the Learning Delivery FAM type 'Community Learning provision type' (ASL).

## **Percentage of online delivery**

335. The percentage of online delivery recorded in this field is the proportion of the curriculum design (scheme of work) delivered by computer mediated activity rather than by a lecturer. This is activity that replaces face-to-face lecturing type and is not time spent on researching information on the web.
336. This field must be returned for all non-apprenticeship learning aims funded through the Adult skills funding model (Funding model 35).
337. The percentage of online delivery recorded on the ILR should be what is planned as part of the curriculum design of the scheme of work for each learning aim. You do not need to track actual time spent online by individual learners. It is teaching and learning that is delivered through an online medium and replaces what would otherwise be delivered by a lecturer.
338. The following are examples of online learning:
- Learning materials that the learner accesses on a college virtual learning environment such as Moodle
  - Video demonstrations or PowerPoint presentations accessed outside the classroom
  - Structured learning packages that are not facilitated by a lecturer
339. The following are examples of activities that do not constitute online learning and should not be included in calculation of the Percentage of online delivery:
- A video of a practical demonstration that is shown in the classroom with the lecturer present
  - Work undertaken on a computer with a lecturer present
  - An online webinar delivered by a lecturer
  - Homework assignments that are undertaken online
  - Email/telephone or online tutorials or feedback discussions

#### 4.9.1 Recording source of funding

340. This section sets out how the Source of funding (SOF) should be completed in the Learning Delivery Funding and Monitoring fields.
341. The following table shows which Source of funding to use with each funding model:

Funding model	Source of funding
10	105
25	Usually 107, see guidance below for details
35	105
36	105
70	105
81	105
82	107
99	Any code except 105 or 107, if applicable

#### Learners who turn 19 during their learning aim or programme

342. For 16 to 18 apprenticeships, no change to the learner's data is required if the learner turns 19 during the programme. The learner should continue to be recorded using funding model code 35 or 36 and Source of funding code 105. A Learning Delivery FAM record does not need to be returned for Eligibility for enhanced apprenticeship funding (EEF).
343. If the learner turns 19 whilst undertaking a 16-19 funded study programme (we class these learners as '19+ continuers'), then they will continue to be funded through the 16-19 Funding model (code 25) and Source of funding (code 107) until they complete their study programme.

#### Learners aged 19 to 24 who have an Education Health Care Plan (EHC)

344. All learners aged 19 to 24 who have an Education Health Care Plan (EHC) must be recorded using Funding model code 25 and Source of funding code 107, unless they are on an apprenticeship programme.
345. If any of these learners are also defined as high needs students, then this must be recorded in the Learner FAM fields using the High Needs Student (HNS) FAM Type.
346. Once the learner becomes 25, the Source of funding code 105 should be recorded from the start of the next teaching year. The Source of funding must not be changed in-year. The funding model for these learners is unchanged: code 25.
347. The table below outlines how the Funding model and Source of funding fields should be completed for different combinations of age at start, current age, and whether or not the learner has an EHC plan.

Age on 31 August of	Age on 31 August of	EHC	Funding	Source of funding
---------------------	---------------------	-----	---------	-------------------

teaching year in which learning started	current teaching year	plan recorded	model	(SOF)
16-18	16-18	Yes or no	25	SOF107
16-18	19+	No	25	SOF107 (for all types of provider)
16-18	19-24	Yes	25	SOF107
16-18	25+	Yes or no	25	SOF105
19+	19+	No	35	SOF105
19-24	19-24	Yes	25	SOF107
19-24	19-24	No	35	SOF105
19-24	25+	Yes	25	SOF105

#### 4.10 Recording work placements

348. The Learning Delivery Work Placement entity is used to collect additional data about individual work experience placements that are being undertaken by a learner as part of a traineeship, Supported Internship or 16-19 study programme. **The non-regulated learning aim references (listed below) must be used when recording work placements for these types of programmes.**
349. When a work experience learning aim is returned as part of a traineeship, Supported Internship or 16-19 study programme the aim must have one or more work placement records associated with it. If a learner undertakes multiple work placements during their learning programme, then separate work placement records will be recorded for each placement.
350. **Work experience learning aims are recorded using the non-regulated learning aim references:**

Learning aim reference	Learning aim title
ZWRKX001	Work experience/placement
ZWRKX002	Industry placements
Z0002347	Supported Internships

351. The Work Placement entity is not required for ESF work placements: work placement records do not need to be sent for ESF funded work placements.

#### 4.11 Recording Higher Education (HE) data

352. The ILR contains two HE datasets: the Learner HE entity and the Learning Delivery HE entity. This HE data is requested by HEFCE and HESA.
353. The Learner HE and Learning Delivery HE fields should be completed as

accurately as possible: the use of default values should be avoided. Returning values such as 'not known' or 'not in HEIFES population' may adversely affect HEFCE funding and should only be used where appropriate.

354. In addition to the Learning Delivery HE fields, providers may also need to complete the HE monitoring data in the Learning Delivery FAM entity.
355. The Learner HE entity also contains the Learner HE Financial Support entity. The Learner HE Financial Support entity is completed annually. At the start of each academic year, any records relating to the previous academic year should be removed and are not returned.

#### **4.11.1 Recording Learner HE Financial Support**

356. The Learner HE Financial Support entity collects details of the financial support received by the student for the year. This data will be used to understand the role that bursaries and other in-kind support play in determining the choice of where students study and the impact this has on their likelihood of continuing studies.
357. There are four financial types which can be collected. Each type can only be recorded once but the corresponding financial amounts are updated during the year.
358. Each Financial support type and Financial support amount pair should be recorded once per applicable Financial support type. Where the student is in receipt of multiple forms of a Financial support type (for example, two forms of cash support) these amounts should be summed and recorded under a single occurrence of the appropriate Financial support type.

#### **Examples**

- *A HE learner is in receipt of a scholarship and receives a payment on 15 September 2017 for £200. A Financial support type of Cash is recorded with a corresponding Financial support amount of £200.*
- *During the year, the same learner is in receipt of another scholarship payment of £400 and an accommodation discount of £300. A Financial support type of Accommodation discount is recorded with a corresponding Financial support amount of £300. The existing record with a Financial support type of Cash is updated to have a value of £600 (to include both scholarship payments).*

#### **4.12 Recording Learner Destination and Progression**

359. This data is collected in the ILR to demonstrate how the FE sector is contributing to the future success of learners. Destination and progression outcomes for a learner include gaining employment or going on to further study.
360. The Learner Destination and Progression entity records the destination or progression outcomes for a learner, these outcomes will usually be reported after the learner has completed or withdrawn from the activities on their original learning agreement or plan. You do not need to complete a Destination and Progression record at the end of every learning aim.



#### 4.12.1 When to collect and return Destination and Progression data

361. Destination and progression is collected when the learner has completed or withdrawn from all the activities on their original learning agreement or plan.
362. Destination and progression data is required to be returned within two months of the learning being completed.
363. As with Learner and Learning Delivery records, you must continue to include Destination and Progression records in each ILR file that you send for the teaching year.
364. You can continue to record and update data about a learner's destination and/or progression until the end of the teaching year following the ILR year in which their learning ended.
365. **There is no requirement to continue to return destination data for learners who ended learning in the previous year, unless this learning was a Traineeship or ESF funded. Please refer to Appendix B migration specification for details.**
366. Destination and progression outcomes that are due to occur in the future can be recorded, for example where a learner has a place on a course that is due to start in two months' time. A future outcome should only be recorded if it has a definite start date within the following year: aspirational outcomes must not be recorded. You should be aware that future outcomes will not count as positive destinations unless they are later confirmed to have taken place.
367. If you record a destination or progression outcome for a learner that you later wish to update, for example if the learner confirms that they are still in a job at a later date, then you can update the original record and amend the collection date. A new destination record with the same outcome type and code does not need to be added.

#### **Examples**

- *An unemployed Adult skills funded learner finishes all of their aims in March 2019, their training provider contacted them on 1 July 2019 to learn that they progressed into full-time employment and had started working on 12 June 2019.*

*A Destination and Progression record is returned in the 2018 to 2019 ILR for this learner. The record will contain:*

- *Outcome type = EMP*
- *Outcome code = 1*
- *Outcome start date = 12 June 2019*
- *Outcome collection date = 1 July 2019*
- *A learner completes a traineeship on 1 September 2018 and progresses onto an apprenticeship with the same provider on 14 November 2018.*

*In addition to the Learner and Learning Delivery records, the provider must return the following Destination and Progression record:*

- *Outcome type = EDU*
- *Outcome code = 2*
- *Outcome start date = 14 November 2018*
- *A 16-19 year old learner finishes a study programme on 20 March 2019 and progresses into full-time employment. The provider must return a Destination and Progression record as follows with an Outcome start date of the date the learner started working:*
  - *Outcome type = EMP*
  - *Outcome code = 1*

*On 4 May 2019 the learner enrolls back with the provider onto a further full-time programme of study having left employment. The provider must add an Outcome end date onto the previous Destination and Progression record and update the Outcome collection date with the date that they received the updated information.*

*In addition to this, a new Destination and Progression record must be added with the relevant Outcome start and collection dates to reflect the education destination:*

- *Outcome type = EDU*
- *Outcome code = 4*

## Section 5 Completing the ILR: recording learner changes

368. Information recorded in the ILR may change as a result of either a change in circumstances of the learner or a change to the learning aims they are studying. This section contains guidance about:

- Correcting errors
- Recording changes to a learner's details
- Recording changes to a learner's programme or learning aim

369. Specific guidance about recording changes that only apply to apprenticeship or traineeship programmes, such as how to record a transfer from one apprenticeship to another, can be found in the relevant sections in this manual for those types of provision.

### 5.1 Correcting errors

370. Data entry errors found in ILR data can usually be corrected as soon as the error is found, as long as the error was made in the current teaching year.

371. Any changes that are made outside of the funding qualifying period must be due to administrative errors only and not due to a learner changing courses (providing the learning aim started in the current teaching year).

#### 5.1.1 Correcting data errors after hard close

372. If data is found to be incorrect after the hard close (R14) of the previous year and the data is incorrect due to an administrative error, then the data should be corrected in the ILR data for the current year and continue to be returned for the duration of the current ILR year. The previous year's ILR file cannot not be amended.

373. Outlined below are various scenarios of incorrect data and the process for correcting these errors.

374. Please note that data from the previous year on the same learning aim record can only be amended in the current year if it is incorrect due to an administrative error.

375. You **must not** amend the following fields.

- Learning start date
- Learning planned end date
- Learning actual end date- If an aim that was recorded as complete in the previous years R14 ILR file and continues to be returned in the current year, then the Learning actual end date must not be changed.

#### Continuing learners who have an incorrect learning aim reference, or funding model

376. On the incorrect learning aim, set the Completion status to code 3 'withdrawn' and the Withdrawal reason to code 40 'Learner has transferred to a new learning aim with the same provider'. Record the Learning actual end date with the same date as the Learning start date (this date will be in the previous ILR year).

377. Record a new learning aim with the correct Learning aim reference and/or funding model. The Learning start date and Learning planned end date must be the same as on the original (incorrect) aim. Do not amend the Learning start date or Learning planned end date. The new aim record should not be recorded as a restart.

#### **Learners reported in the previous year as continuing who have now been identified as withdrawn**

378. On the learning aim, set the Completion status to code 3 'withdrawn' and complete the Withdrawal reason field with the relevant code. Record the Learning actual end date as the last day the learner was in learning: this will be in the previous ILR year, do not use 1 August of the current year.
379. You must add a Destination and Progression record for this learner if applicable.

#### **Learners reported in the previous year as withdrawn who have now been identified as continuing**

380. On the learning aim, amend the Completion status to code 6 (Learner has temporarily withdrawn from the aim due to an agreed break in learning). Record a new programme with the same learning aim reference(s) the following day with a restart indicator (Learning Delivery Funding and Monitoring Type = RES).

#### **Learners on a break in learning in the previous year who have now been identified as withdrawn**

381. On the learning aim, set the Completion status to code 3 'withdrawn' and complete the Withdrawal reason with the relevant code. Do not amend any of the date or other aim data.
382. You must add a Destination and Progression record for this learner if applicable.

#### **Continuing learners whose Learning planned end date has now been identified as significantly incorrect**

383. On the learning aim, set the Completion status to code 3 'withdrawn' and complete the Withdrawal reason using code 40 'Learner has transferred to a new learning aim with the same provider'. Record a Learning actual end date of 1 August of the current year.
384. Record a new learning aim with the same Learning aim reference and a Learning start date of 1 August of the current year and the correct Learning planned end date. Record this aim as a restart (Learning Delivery Funding and Monitoring Type = RES), and complete the Funding adjustment for prior learning field with the percentage of learning that is still to be delivered.
385. This data should only be changed when it is identified as incorrect due to administrative errors. The Learning planned end date must not be changed to take into account a revised planned end date due to a change in circumstances such as illness, slow progress or unemployment.

#### **5.1.2 Correcting data for reasons other than data errors**

386. If learning recorded as funded is identified in-year as ineligible for funding, the

ESFA may require you to amend the records to ensure no funding is claimed.

387. To correct data errors due to a funding compliance issue in-year, you must:
- Update the funding model recorded on the aim that has been deemed ineligible for funding to Funding model code 99 (Non-funded)
  - Continue to accurately record the learning you are delivering. You must not simply record the aim as withdrawn and continue to return it on the original funding model.

## **5.2 Recording changes to a learner's details**

388. Where there is a change in the learner's circumstances which does not lead to a change in their learning programme, for example a new address or a change in contact details, then the learner's data can be updated.

## **5.3 Recording changes to a learner's programme or learning aim**

389. All changes to learning objectives and aims must be recorded in the learner file (previously called 'Learning Agreement').

### **5.3.1 Changes to learning aims within the funding qualifying period**

390. For Adult funded learners (Funding model 35 and 81), the funding qualifying period is defined in the Adult education budget funding rules and is based on the number of days in learning for each learning aim.
391. For 16-19 funded learners (Funding model 25 and 82), the qualifying period to be eligible for funding each year is defined in the 16 to19 rates and formula guide, and is based upon the number of weeks in learning at Learner level.
392. If the learner changes their learning aim during the funding qualifying period, then the learning aim details can be amended on the original ILR record.
393. Any changes to learning aims after the funding qualifying period must be recorded as a withdrawal or transfer.

### **5.3.2 Changes to the Learning start and end dates**

394. These fields inform the funding received. You must not make any changes to the start or planned end dates after the funding qualifying period, except to correct errors.
395. If the learner is transferring to a new learning aim or programme, then the existing programme aim or learning aim must be closed and a new programme and/or learning aim(s) created.
396. You must not update the Learning planned end date once it has been entered, even if the learner continues on the learning aim beyond that date. If a learner continues their learning beyond the planned end date this should be reflected in the Learning actual end date field; the Learning planned end date must remain unchanged.
397. The Learning start date and Learning planned end date must remain the same between teaching years as they are used in the calculation of funding and achievement rates.

### 5.3.3 Recording learner absence or withdrawal

398. You must determine the intent of learners who are absent from learning, whether the learner expects to return to learning, and the reason for the absence. You are expected to have robust absence monitoring and an absence and withdrawal policy, which you implement to ensure that the progress of all learners is monitored.
399. A learner must be considered to have withdrawn from a programme of learning when they have:
- Made known a decision to withdraw from the learning,
  - Exceeded the training provider's absence and withdrawal policy, or
  - Been removed from learning by their training provider.
400. When a learner withdraws, the programme aim (where applicable) and any learning aims should be closed.

**Table 1: A learner has withdrawn from learning with no intention to return**

Field name	Data returned
Employment outcome	Returned if applicable
Completion status	3
Learning actual end date	Date of last learning activity for the aim
Withdrawal reason	Relevant code
Outcome	3
Outcome grade	Data not returned

401. You must include learners in the ILR who have attended one episode of learning. If a learner withdraws within the funding qualifying period, the learner must still be included in the ILR.
402. If a learner withdraws without completing one episode of learning, for example without attending the first class, then they must not be included in the ILR.

### 5.4 Recording breaks in learning, transfers and restarts

403. There are various circumstances where a learner may restart their learning, these include:
- Restarts after an agreed break in learning
  - Restarts after a learner has transferred
  - Restarts after withdrawing
404. When an agreed break in learning occurs on the same date as aims being completed, the agreed date for the break in learning should be recorded as the following day.

#### 5.4.1 Recording agreed breaks in learning

##### For Adult skills funded learners

405. If the learner is taking an agreed break in learning and intends to return, for

example for economic reasons, long term sickness, maternity leave or religious trips, then this should be recorded by closing the aims in the ILR as in *Table 2*.

- 406. You must not record a break in learning unless you and the learner have agreed this, the learner intends to return to learning at a later point, and there is supporting evidence in the learner file.
- 407. You must continue to report a learner on a break in learning in your ILR until either the learner returns and restarts their learning, or you report the learner as having withdrawn.
- 408. If the learner does not return from an agreed break in learning, then the learning aim record(s) must be updated to indicate that the learner has withdrawn (see *Table 1*).
- 409. If the learner began an agreed break in learning in the previous year, is still on this break in the current year and they still intend to return, then the learning aims should continue to be returned as described in Appendix B.

**Table 2: A learner is Adult funded and taking an agreed break in learning**

Field name	Data returned
Employment outcome	Data not returned
Completion status	6
Learning actual end date	Date of last learning activity for the aim
Withdrawal reason	Data not returned
Outcome	3
Outcome grade	Data not returned

- 410. If the learning aim that the learner was following is no longer available when they return (in other words, the certification date has passed), then you cannot class this as a break in learning. This limits the length of time that a learner can have as a break in learning.
- 411. When the learner returns to learning, you will need to replan the delivery of any remaining training and/ or assessment following a break, a new programme aim (if required), learning aim(s), new planned end date should be created as in *Table 3*. The original learning aims must not be reopened.

**Table 3: Recording new aims when a learner returns from an agreed break in learning**

Field name	Programme aim	Other aims
Learning start date	Date on which the learner restarts the programme after the break	Date on which the learner restarts the learning aim after the break
Original learning start date (from 1 August 2013)	Date on which the learner originally started the programme	Date on which the learner originally started the learning aim
Learning planned end	New planned end date for the	New planned end date for the

date	programme	learning aim
Funding adjustment for prior learning	Not returned	Proportion of the learning aim still to be delivered
Restart indicator (Learning Delivery FAM)	Use code RES1	Use code RES1

### For 16-19 funded learners

- 412. The ILR does not record breaks in learning for 16-19 funded learners (Funding model 25 and 82).
- 413. If a 16-19 funded learner has agreed a leave of absence with you, then the learning aim record(s) should be left open. When the learner completes their learning aim(s), these are closed in the normal way.
- 414. If the learner withdraws from learning, then the learning aims are closed. If this learner later returns to the same programme of study, these aims can be reopened at your discretion depending upon the timing.
- 415. If a learner is absent on an agreed leave of absence at the start of a new teaching year, then you must continue to submit an ILR record for the learner and should record the planned hours that the learner will undertake for the year when they return to learning.

#### 5.4.2 Recording learner transfers

##### A learner transfers to a different learning aim within the same provider

- 416. If a learner changes their learning aim during the funding qualifying period, then the learning aim details (including the start and planned end date) can be amended on the ILR record.
- 417. If a learner transfers to another programme or learning aim after the funding qualifying period, then the original learning aim record(s) will need to be closed and new learning aim(s) added: see *Table 4*. You should not just amend the details on the original learning aim(s).

**Table 4: Recording a learner transfer to a new learning aim within the same provider**

Closing aims		Recording new aims after a transfer within the same provider	
Field name	Data returned	Field name	Data returned
Employment outcome	Data not returned	Learning start date	Date on which the learner starts the new learning aim
Completion status	3		
Learning actual end date	Date of the last learning activity for the aim	Original learning start date (from 1 August 2013)	Data not returned



Withdrawal reason	40	Learning planned end date	Planned end date for the new aim
Outcome	3	Funding adjustment for prior learning	If applicable
Outcome grade	Data not returned	Restart indicator (FAM)	Data not returned

418. The start date of the new learning aim cannot be earlier from than the actual end date of the learning aim that the learner has transferred from or may be slightly later if there is a delay in the learner starting the new aim.

### **A learner transfers from Adult skills funded non-apprenticeship learning to a funded apprenticeship with the same provider**

419. Any learning aims that the learner will continue to study are left open and will continue to be recorded as non-apprenticeship learning. The Programme type, Framework code, Apprenticeship pathway and Standard code fields are not completed for these aims. The funding model and other details (including the planned end date) of the learning aim must not be changed.
420. Any learning aims that the learner is not continuing with must be closed as in *Table 4*.
421. Any new aims required for the apprenticeship, including a programme aim and associated financial details, should be added to the learner's record.
422. Start and planned end dates for the programme aim and component aim(s) of the apprenticeship need to be agreed and recorded. The start dates for these aims will be after the start date of the non-apprenticeship aim.
423. This does not apply to 16 to 18 year old learners who transfer from a 16-19 funded study programme to an apprenticeship or vice versa within the same provider. In this situation, all the aims should be closed as in *Table 4* and new aims started. Prior learning must be taken into account when agreeing a price for an apprenticeship programme.

### **A learner transfers to a different provider**

424. This guidance applies where an individual learner transfers to a different provider. For transfers of cohorts of learners due to contracting changes and changes in a provider's organisational structure such as mergers and take-overs, see *A cohort of learners transfers to a new provider (due to a merger)* below.
425. Learners who transfer to a new provider before completing their learning aim or programme are recorded as shown in *Table 5* below.

**Table 5: Closing aims when a learner transfers to a different provider**

Field name	Scenario 1: Learner transfers to different learning aims with a different provider	Scenario 2: Learner is continuing the same learning aims with a different provider
Employment outcome	Data not returned	Data not returned

Completion status	3	3
Learning actual end date	Date of the last learning activity for the aim	Date of the last learning activity for the aim
Withdrawal reason	2 or 41 (as applicable) See <i>paragraph 427</i> below for details of when to use code 41	2 or 7 (as applicable)
Outcome	3	3
Outcome grade	Data not returned	Data not returned

426. The new provider will create new learning aims for the learner (with new start dates and new planned end dates where applicable); see *Table 6*.
427. Withdrawal reason code 41 should only be used to identify where a learner has transferred from a 16-19 funded study programme or Adult skills funded learning in order to take up an apprenticeship programme, traineeship or Supported Internship.
428. For provider changes due to minimum contract levels, code NLM18 should be recorded in the Learner FAM fields. For a merger or take-over, code NLM17 should be recorded: see *A cohort of learners transfers to a new provider (due to a merger)* below.

**Table 6: Recording new aims when a learner transfers to a different provider**

Field name	Scenario 1: Learner transfers to different learning aims with a different provider	Scenario 2: Learner is continuing the same learning aims with a different provider
Learning start date	Date on which the learner starts the new learning aim	Date on which the learner restarts the learning aim (or date of merger or take-over, if applicable)
Original learning start date (from August 2013)	Data not returned	Data returned if known for mergers or take-overs
Learning planned end date	Planned end date for the new learning aim	New planned end date for the learning aim
Funding adjustment for prior learning	If applicable	The proportion of the learning aim still to be delivered (non-programme aims only)
Restart indicator (Learning Delivery FAM)	Data not returned	Use code RES1
National Learner Monitoring (Learner FAM)	Use code NLM17 or NLM18 (if applicable)	Use code NLM17 or NLM18 (if applicable)

## A cohort of learners transfers to a new provider (due to a merger or conversion to academy)

429. When providers merge or convert, the approach required to record the learners on the ILR is dependent on the provider type.
430. For Training Organisations (contract funded providers), Learners must be transferred individually following the guidance in the section above (A learner transfers to a different provider). On the new provider's ILR data, the Learner FAM code NLM17 must be recorded for all learners who transferred due to the merger.
431. For Colleges (grant funded providers), colleges merging in-year can continue to submit separate ILRs for the rest of the academic year, and merge the files at the start of the following academic year. However, all new Apprenticeship provision starting after the merger date must be recorded against the new merged UKPRN.
432. For Sixth Form Colleges converting to academy status in 2018 to 2019 after 1 August 2018 must continue to submit their ILR using their predecessor college UKPRN for the rest of the academic year. Those converting on 1 August 2018, or previously, must submit using their new academy (not trust) UKPRN.
433. If you have successfully reapplied for the Register of apprenticeship training providers (ROATP) to deliver levy as an academy trust, you must submit a separate ILR using your trust UKPRN to contain only levy learners, your relating academies will continue to submit their ILR files containing all other learner records as normal.

### 5.4.3 Recording restarts (without an agreed break in learning)

434. The following guidance applies in scenarios such as where a learner has withdrawn from their learning for a reason other than an agreed break in learning or transfer, and subsequently returns to learning on the same aim(s).
435. When the learner withdraws, their learning aims must be closed as in *Table 1*, with the relevant code in the Withdrawal reason field.
436. If the learner later returns to learning, the new aims must be created as in *Table 7*. The original learning aims must not be re-opened.

**Table 7: Recording new aims when a learner restarts learning without an agreed break**

Field name	Programme aim	Other aims
Learning start date	Date on which the learner restarts the programme	Date on which the learner restarts the learning aim
Original learning start date (from 1 August 2013)	Not returned	Not returned
Learning planned end date	New planned end date for the programme	New planned end date for the learning aim
Funding adjustment for prior learning	Not returned	Proportion of the learning aims still to be delivered (if applicable)
Restart indicator (Learning Delivery FAM)	Use code RES1	Use code RES1

## 5.5 Recording learning outcomes

437. The ILR must be completed and updated regularly to reflect progress in the learner file (previously called 'Learning Agreement'). Information should be updated when the outcome of the learning is known.
438. See *Table 8* below for recording continuing and achieved aims.

**Table 8: Recording continuing and achieved aims**

Field name	Continuing aims	Achieved aims
Employment outcome	Data not returned	Return if applicable
Completion status	1	2
Learning actual end date	Data not returned	Date of the last learning activity for the aim
Withdrawal reason	Data not returned	Data not returned
Outcome	Data not returned	1
Outcome grade	Data not returned	Relevant grade, see <a href="#">Appendix Q</a>

439. The Employment outcome field is only completed for learning aims which are either part of a programme that is funded to deliver employment outcomes or a programme where separate employment outcome payments are made.

### 5.5.1 Recording retakes and resits

440. If a learner undertakes a learning aim, finishes learning, takes the final assessment and fails, then this aim should be closed and recorded as 'not achieved' (Outcome code 3).
441. Where this learner is then identified as needing further support or additional learning in order to pass the assessment, then a new learning aim should be recorded as a restart with a Funding adjustment for prior learning to account for the new learning required to pass the resit. You must not amend the original, closed learning aim.
442. Where no further learning is required and the learner is only resitting the assessment or exam, then this is not funded by the ESFA and a new aim must not be recorded.

## 5.6 How to delete records

443. Erroneous learner records can be deleted from the ILR data held by the ESFA by sending an ILR file with the erroneous Learner and associated Learning Delivery and/or Learner Destination and Progression records removed from the file.
444. Learner records should not be deleted unless the learner withdraws without completing one episode of learning, for example the learner withdraws without attending the first class.
445. However, do not delete the record if it is identified that a learner has never attended or completed one episode of learning in the previous year. On the learning aim, set the Completion status to code 3 'withdrawn' and complete the

Withdrawal reason field with the relevant code. Record the Learning actual end date as the last day the learner was in learning: this will be in the previous ILR year, do not use 1 August of the current year. The last day of learning may be the start date of the learning aim.

446. Where files have been merged using the amalgamation facility in FIS, care should be taken to ensure that the learner is deleted correctly.
447. You should keep a record of any learner deletions.

## Section 6 Completing the ILR: recording apprenticeship programmes

448. The following section contains guidance for recording apprenticeship framework and apprenticeship standard programmes, which include Intermediate-level Apprenticeships, Advanced-level Apprenticeships, and Higher and Degree Apprenticeships.
449. This guidance is divided into the following sections:
- Guidance that applies to all apprenticeship programmes (including guidance for recording Higher and Degree apprenticeships, and requirements for Higher Education Institutions)
  - Additional guidance for apprenticeship frameworks recorded on Funding model 35
  - Additional guidance for apprenticeship standards recorded on Funding model 81
  - Additional guidance for apprenticeship frameworks and standards recorded on Funding model 36
  - Additional guidance for apprenticeship frameworks and standards recorded on Funding model 99

### 6.1 Guidance for all apprenticeship programmes

450. The following applies to all apprenticeship programmes. This guidance is in addition to the information in *Section 4* which applies to all types of learning provision (unless otherwise stated).
451. The term 'assessment' in the following guidance is used to refer to the end point assessment portion of an apprenticeship standard programme. This does not refer to continuous assessment, e.g. continuous assessment conducted as part of National Vocational Qualification (NVQ) learning aims.

#### 6.1.1 Recording employment status for apprenticeships

452. Employment status data is used to monitor and ensure eligibility for funding for apprentices; you must complete the employment status records accurately.
453. For all apprentices, you must return an employment status record for the apprentice's employment status prior to the start of their apprenticeship programme.
454. A new employment status record with a Date employment status applies of the first day of the apprenticeship programme must be added if:
- The apprentice was unemployed prior to starting the programme, or
  - The apprentice was employed with a different employer prior to starting their programme.
455. All apprentices must have an employment status record that applies on the first day of their programme with an employment status of 'In paid employment'

(Employment status code 10).

## Examples

### **1. Apprentice who is employed with a different employer prior to starting the programme**

*A learner starts an apprenticeship programme on 28 September 2018 with ABC Engineering. The learner was employed in the week prior to starting the apprenticeship with a different employer.*

- *An Employment status record with a date prior to 28 September 2018 is recorded with a status of 'In paid employment' (code 10). No Employer identifier needs to be recorded.*
- *A second Employment status record with a date of 28 September 2018 is recorded with a status of 'In paid employment' (code 10). The Employer identifier for ABC Engineering is recorded.*

### **2. Apprentice who is unemployed prior to starting the programme**

*A learner starts an apprenticeship programme on 15 September 2018 with ABC Engineering. The learner was unemployed and looking for work prior to starting the apprenticeship.*

- *An Employment status record with a date prior to 15 September 2018 is recorded with a status of 'Not in paid employment and looking for work and available to start work' (code 11).*
- *A second Employment status record with a date of 15 September 2018 is recorded with a status of 'In paid employment' (code 10). The Employer identifier for ABC Engineering is recorded.*

### **3. Apprentice who changes employer and progresses to a second apprenticeship programme**

*A learner progresses from an Intermediate-level apprenticeship framework to an Advanced-level apprenticeship framework. On 4 June 2019 with a new employer (DEF Engineering).*

- *A new Employment status record with a date of 4 June 2019 is recorded with a status of 'In paid employment' (code 10). The Employer identifier for DEF Engineering is recorded.*

456. If there is any change in the apprentice's employment status or employment status monitoring during their programme, then a new employment status record must be added to accurately record this. For example, a new record must be added if the apprentice changes employer, changes their hours of work, or ceases to be employed.
457. There are circumstances in which a change to an apprentice's employment status will make the apprentice ineligible for funding; refer to the applicable Funding Rules for details.

458. Small employers (as defined in the applicable Funding Rules) should be identified on the ILR by recording the code SEM1 in the Employment Status Monitoring fields. You do not need to identify small employers on the ILR for frameworks recorded on Funding Model 35.

### 6.1.2 Recording learning aims for apprenticeship programmes

459. For apprenticeship programmes, you must record an aim that describes the overall apprenticeship programme. This aim is known as the 'programme aim' and is recorded using the Learning aim reference 'ZPROG001'.

460. You must record all learning undertaken as part of the apprenticeship programme, including regulated qualifications and non-regulated learning activity; this learning is recorded as 'component aims' using the appropriate Learning aim references from the LARS database.

461. All apprenticeship programmes must be recorded with one programme aim and at least one component learning aim.

462. For an apprenticeship framework programme, the component aims will be the competency, knowledge and functional skills elements of the framework. Details of whether a qualification is the competency or knowledge element of an apprenticeship framework are held in the LARS database. An apprentice cannot be recorded as in learning on more than one competency aim at any one time.

463. For an apprenticeship standard, if no regulated qualifications are undertaken, then you must record one of the non-regulated learning aims from Category E of the [Learning Aim Class Codes' document \(located in Section 14 Related Links to Documents and Information section\)](#).

464. The Aim type field is used to identify whether a learning aim is a programme aim or component aim:

- The programme aim is recorded with Aim type code 1
- Component aims are recorded with Aim type code 3

465. The programme aim may have a start date, end date, completion status and outcome that differs from the component aims.

466. The table below highlights some of the key Learning Delivery fields recorded for apprenticeship aims and guidance about completing them. The full lists of fields required for apprenticeships can be found in *Section 13*.

Field name	Notes
Learning aim reference number	This must be a valid code in the LARS database. For the programme aim, the code ZPROG001 must be used.
Aim type	This identifies whether the learning aim is a programme aim or a component aim
Funding model	For funded frameworks started, or originally started, before 1 May 2017, use code 35 For funded standards started, or original started, before 1 May 2017, use



	code 81
	For funded frameworks or standards started on or after 1 May 2017, use code 36
	For non-funded frameworks or standards, use code 99
Programme type	This should be the same for all learning aims that comprise the programme
Framework code	This is returned for apprenticeship framework programmes only and should be the same for all learning aims that comprise the programme
Apprenticeship pathway	This is returned for apprenticeship framework programmes only and should be the same for all learning aims that comprise the programme
Apprenticeship standard code	This is returned for apprenticeship standard programmes only and should be the same for all learning aims that comprise the programme
Learning start date	This should reflect reality: for example, record the date when the specific aim starts, for component aims this date may be different to the Learning start date recorded for the programme aim
Learning planned end date	This should reflect how long the apprentice is expected to be in learning on the aim. This field affects how funding is calculated and is used in validation rules to enforce the minimum duration requirements for apprenticeship programmes as specified in the funding rules.  The Learning planned end date for an apprenticeship standard must include both the training and end point assessment period.

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### 6.1.3 Recording apprenticeship frameworks

467. You must complete the Framework code and Apprenticeship pathway fields with the appropriate codes from the LARS database.

### 6.1.4 Recording apprenticeship standards

468. All apprenticeship standard aims must be recorded using Programme type code 25 (apprenticeship standard).
469. You must complete the Apprenticeship standard code field with the code for the standard from the LARS database.
470. The Learning planned end date for an apprenticeship standard programme aim must include both the training and end point assessment period.

#### **Example**

- *An apprentice is undertaking an apprenticeship in the Software Developer standard. As part of this, the apprentice is completing some IT learning that is not a regulated qualification. This non-regulated learning is recorded as a component learning aim with the appropriate learning aim reference from Appendix H: Z0001946 – ‘Non regulated provision, Level 4, ICT Practitioners’.*

*This apprenticeship is recorded on the ILR with the following two aims:*

1. *Programme aim: LearnAimRef = ZPROG001, Aim type = 1*
2. *Component learning aim: LearnAimRef = Z0001946, Aim type = 3*

*The standard is recorded in the Apprenticeship standard code field using code 2.*

471. You must record the End point assessment organisation identifier on apprenticeship standard programme aims once the assessment organisation has been selected. This identifier recorded in the EPAOrgID field must be a valid ID from the [register of apprentice assessment organisations](#).
472. Once an End point assessment organisation has been identified on the ILR, there must be a financial record for the price of the end point assessment.

### **6.1.5 Recording Higher Education (HE) data**

473. The two HE datasets on the ILR are collected for apprentices and learning aims where the learning aims are identified as prescribed HE in the LARS database (using the field EnglPrscID). HE data is not returned for apprenticeship learning aims that are not prescribed HE.

### **6.1.6 Apprenticeship training agencies (ATAs)**

474. Organisations that operate as ATAs employ apprentices who are then made available to employers for a fee. The reporting of apprentices employed with an ATA is subject to monitoring and ministerial reporting. You must ensure that this data is accurately completed on your ILR return.
475. Apprentices who are employed with an ATA should be recorded in the ILR in the same way as other apprentices, paying particular attention to the following:
- Record code LDM130 in the Learning Delivery FAM fields against all aims delivered as part of the apprenticeship where the apprentice is directly employed by an ATA who then hires them out to a host employer. This applies to the programme aim and all component aims.
  - The employer number of the ATA must be recorded in the Employer identifier field. This field must not contain the employer number of the host employer.
  - The Delivery location postcode recorded for each learning aim must record where the learning delivery took place. For example, if the competency aim for an apprenticeship framework is delivered at the host employer's workplace, then the postcode of the host employer should be recorded for this aim. If the knowledge learning aim for the apprenticeship framework is delivered by the training provider, then the postcode of the provider should be recorded for this aim.
476. Group training associations (GTAs) that offer an ATA service to employers must follow ATA-specific rules, but must record code LDM129 in the Learning Delivery FAM fields instead of LDM130.

### **Examples**

#### **1. An apprentice is employed with an ATA that is working with a range of training providers**

- *The Employer identifier in the Employment status record applicable on the first day of learning is the employer number for the ATA.*

- *The Delivery location postcode for the learning delivered within the workplace, such as a framework competency aim, is the host employer's postcode.*
- *The Delivery location for learning aims delivered at a training provider is the postcode of the relevant training provider.*
- *The code LDM130 is recorded against all aims delivered as part of the programme, including the programme aim and all component aims.*

## **2. An apprentice is employed with an ATA that is also a training provider**

- *The Employer identifier in the Employment status record applicable on the first day of learning is the employer number of the ATA. This must be a different number to the employer number of the training provider.*
- *The Delivery location postcode must be recorded as in Example 1 above.*
- *Code LDM130 must be recorded against all aims delivered as part of this apprenticeship programme, including the programme aim and all component aims.*

### **6.1.7 Recording changes to learning aims**

477. All changes to learning objectives and aims must be recorded in the apprentice's apprenticeship agreement.
478. If the apprentice changes any of their learning aims during the funding qualifying period, then the learning aim details can be amended on the original ILR record.
479. The funding qualifying period is defined in the funding rules and is based on the number of days in learning for each learning aim.
480. Any changes to learning aims after the funding qualifying period must be recorded as a withdrawal or transfer. You must not amend the details on the original learning aim(s).
481. Where the apprentice is transferring to a new aim, then the start date of the new learning aim cannot be earlier than the actual end date of the learning aim that the apprentice has transferred from, or may be slightly later if there is a delay in the apprentice starting the new aim.
482. If the Apprenticeship contract type (ACT) is recorded on a closed aim, then the Date applies to field on the latest ACT record must match the Learning actual end date of that aim.

### **6.1.8 Recording higher and degree apprenticeships**

483. Where the HE qualifications being undertaken within the apprenticeship are not listed on the LARS database, for example for a foundation or degree awarded by a HEI, you will need to request that the learning aim is added into the LARS database.
484. To request HE learning aims for use within an apprenticeship, please complete the form that is available on the ILR sources of data webpage.
485. If you are delivering prescribed HE learning aims as part of an apprenticeship

programme (identified using the field EngIPrscID in the LARS database), then you must return the Learner HE and Learning Delivery HE datasets. This requirement does not apply to Higher Education Institutions (HEIs).

486. If required, you must complete the HE datasets as accurately as possible and the use of default values should be avoided. Returning value such as ‘not known’ or ‘not in HEIFES population’ may adversely affect HEFCE funding and should only be used where appropriate.

### **6.1.9 Requirements for Higher Education Institutions (HEIs)**

487. HEIs must send an ILR return for higher and degree apprenticeships to the ESFA for the following apprentices:
- All 16-18 apprentices started before 1 May 2017
  - All 19+ apprentices on apprenticeship standards started before 1 May 2017
  - For 19+ apprentices on apprenticeship frameworks started before 1 May 2017, the ILR return is optional.
  - All apprentices started on or after 1 May 2017
488. Where a HEI is the lead provider for the apprenticeship programme, the ILR return must include all of the learning delivered as part of the programme, including the HE learning aims, other qualification, any non-regulated qualifications, etc.
489. HEIs do not need to complete the Learner HE and Learning Delivery HE datasets on the ILR for higher and degree apprenticeships: this data will be included on your HESA return.

## **6.2 Additional guidance for apprenticeship frameworks recorded on Funding model 35**

490. All funded apprenticeship framework programmes started before 1 May 2017 are recorded on Funding model 35. Funded apprenticeship framework programmes originally started before 1 May 2017 should be recorded on Funding model 35, for example where an apprentice restarts a framework programme, in line with the apprenticeship funding rules.
491. Source of funding code of SOF105 must be recorded in the Learning Delivery FAM fields on all funded aims for these apprenticeships.

### **6.2.1 Funding model 35 frameworks: Eligibility for enhanced apprenticeship funding**

492. For frameworks funded through Funding model 35, the Learning Delivery FAM type ‘Eligibility for enhanced apprenticeship funding’ (EEF) may be used in the following circumstances:

<b>FAM type &amp; code</b>	<b>Description</b>	<b>To be used where</b>
EEF2	Entitlement to 16-18 apprenticeship funding	The apprentice is restarting a programme on or after their 19 <sup>th</sup> birthday but is entitled to 16-18 funding.

	where the learner is 19 or over	The apprentice is aged 19-24 and as an EHC plan. The apprentice has transferred to a new apprenticeship pathway within the same framework and programme type, was aged 16-18 at the start of the programme, and is aged 19+ when they transfer to the new pathway.
EEF3	Entitlement to 19-23 apprenticeship funding where the learner is 24 or over	The apprentice is restarting a programme on or after their 24 <sup>th</sup> birthday but is entitled to 19-23 funding.
EEF4	Entitlement to extended funding for apprentices	The apprentice is eligible for extended funding. See the Funding Rules for details about extended funding.

493. If an apprentice started their programme aged 18 and then is 19+ when they start one of their component aims within the programme, an EEF code is not required.

494. Where EEF code 2 is recorded, then FFI code 1 (fully funded) must also be recorded. Where EEF code 3 is recorded then FFI code 2 (co-funded) must be recorded.

495. If an apprentice is recorded with the Learning Delivery FAM type EEF due to restarting their programme, then the Restart indicator (RES) must also be recorded in the Learning Delivery FAM fields.

### 6.2.2 Funding model 35 frameworks: recording achievements

496. When all elements of the apprenticeship have been completed and the Apprenticeship Declaration and Authorisation Form has been signed, the following should be recorded on the ILR:

- All learning aims within the programme must be closed with Learning actual end dates set to the date for the last learning activity of the aim(s).
- The programme aim should be closed with the Learning actual end date recorded as the last learning activity for the entire programme.
- The Outcome on the programme aim should be recorded as code 1 'Achieved'.

497. All open and closed learning aims that are part of the framework should be returned on the ILR until the framework is completed. To calculate the framework achievement funding, both the competency and knowledge aims must be recorded when the framework is achieved.

498. Where a learner achieves their framework programme but is continuing with level 2 functional skills (having progressed from level 1 during the apprenticeship), the programme aim should be closed with an Outcome of 'Achieved' along with the competency and knowledge aims as detailed above. The level 2 functional skills aims can remain open and should continue to be recorded until they are completed.

499. The ESFA will pay Funding model 35 apprenticeship framework achievements in the year in which the apprentice completed the framework (based on the Learning actual end date of the programme aim). The funding calculation will look at the

Outcome field to determine if the framework is achieved.

### 6.2.3 Funding model 35 frameworks: recording changes

#### Withdrawal from the apprenticeship programme

500. The programme aim and component learning aims should be closed.

#### Transfers to a different apprenticeship with the same provider

501. If an apprentice changes to a different framework or to a standard after 1 May 2017, and the new apprenticeship is funded, then the new apprenticeship will be recorded on Funding model 36. You must:

- Close the programme aim and all component learning aims (see the 'Closing aims' column in *Table 4*).
- Create a new programme and learning aims as required in accordance with the guidance for recording apprenticeships on Funding model 36

#### Transfers to a different pathway within the same programme type and framework

502. Close the programme aim and any learning aims that the apprentice is no longer continuing with using Completion status code 3 and Withdrawal reason code 40. You may not need to close all of the aims on the original apprenticeship pathway; if any aims are continuing as part of the new pathway you must not close them.

503. Create a new programme aim and new learning aims as required, for example where the apprentice is starting a different competency aim. On the programme aim, you must:

- record the Restart indicator in the Learning Delivery Funding and monitoring (FAM) fields using code RES1, and
- complete the Original learning start date field with the date that the apprentice originally started on their framework (before the pathway transfer).

504. Any continuing component aims must be updated with the new pathway code in the Apprenticeship pathway code field. **Do not** amend the Learning start date or Learning planned end date for these aims; you must not close aims if they are continuing.

505. Update the pathway code on any competency and/or knowledge aims relevant to the new pathway that the apprentice has already completed. This ensures that the achievement element for these aims is calculated correctly when the framework is achieved.

506. You do not need to amend the pathway code on completed functional skills aims: these should continue to be recorded with the previous pathway code

507. Record the Learning Delivery FAM type 'Eligibility for enhanced apprenticeship funding' (EEF) if applicable:

- Record EEF code 2 if the apprentice was aged 16-18 when they started their apprenticeship programme but is aged 19 or over when they transfer to the new pathway
- Record EEF code 3 if the apprentice was aged 19-23 when they started their apprenticeship programme but is aged 24 or over when they transfer to the new pathway
- Record EEF code 4 if the apprentice is eligible for extended funding, refer to the Funding Rules for details about extended funding.

508. For apprentices where learning support is being claimed, the 'Date applies to' for the Learning Delivery FAM type 'Learning support funding' (LSF) on the original programme aim should be equal to the Learning actual end date. If learning support is being claimed on the new pathway, then record Learning Delivery FAM type LSF on the new programme aim with the 'Date applies from' equal to the Learning start date.

### Transfers to the same apprenticeship with a different provider

509. If the apprentice transfers to a new provider but continues with the same apprenticeship framework programme, then the original provider must close the programme aim and all component learning aims (see Scenario 2 in *Table 5*).
510. The new provider must record a new programme aim and any component aims that the apprentice is continuing with. The aims must be recorded with the following:

Field name	Description
Learning start date	Date on which the apprentice restarts the aim
Original learning start date (from August 2013)	Date on which the apprentice originally started the programme with the previous provider, if known
Learning planned end date	New planned end date for the aim
Funding model	35
Funding adjustment for prior learning	The proportion of the learning aim still to be delivered (component aims only)
Restart indicator (Learning Delivery FAM)	Use code RES1
Eligibility for enhanced apprenticeship funding (Learning Delivery FAM)	Applicable code, if required

### Progression from one apprenticeship framework level to another

511. If an apprentice progresses from an Intermediate-level apprenticeship to an Advanced-level apprenticeship during the current year, then two programme aims should be recorded:
- One closed and completed programme aim on Funding model 35 for the Intermediate-level apprenticeship, and
  - One open and current programme aim on Funding model 36 for the

### Advanced-level apprenticeship.

- 512. The Learning start date of the new apprenticeship programme aim must not overlap with the Learning actual end date for the closed apprenticeship programme aim.
- 513. If the apprentice is continuing with level 2 functional skills that they started during the Intermediate-level apprenticeship, then the learning aim records for the functional skills do not need to be closed or amended. The Programme type, Framework code and Apprenticeship pathway fields will remain the same.

### **Apprentice takes an agreed break in learning**

- 514. If the apprentice is taking an agreed break in learning and intends to return, for example for economic reasons, long term sickness, maternity leave or religious trips, then the programme and component aims must be closed as in *Table 2*.
- 515. When the apprentice returns, a new programme aim and new component learning aim(s) are recorded. The original learning aims on the ILR must not be reopened.
- 516. If the apprentice does not return from an agreed break in learning, then the learning aims must be updated to indicate that the apprentice has withdrawn (see *Table 1*).
- 517. If the apprentice has already completed the competency and/or knowledge aims of an apprenticeship programme prior to a break in learning, then these should continue to be returned as part of the apprentice's ILR records to ensure that the achievement element of funding from these can be calculated correctly.
- 518. An apprentice on Funding model 35 who takes a break in learning may return to their apprenticeship on Funding model 35, or can transfer to a different apprenticeship framework or standard on Funding model 36 if it is in the apprentice's best interests (see the apprenticeship funding rules).
- 519. If the apprentice transfers to a new programme on Funding model 36, then refer to the Funding model 36 data requirements. The Funding model 35 apprenticeship aims will need to be updated to reflect that the apprentice has now withdrawn and transferred to a new programme. To do this, update the Completion status to code 3 and record Withdrawal reason code 40.

### **6.3 Additional guidance for apprenticeship standards recorded on Funding model 81**

- 520. All funded apprenticeship standard programmes started before 1 May 2017 are recorded on Funding model 81. Funded apprenticeship standard programmes originally started before 1 May 2017 should also be recorded on Funding model 81, for example where an apprentice restarts a standard programme, in line with the apprenticeship funding rules.
- 521. Source of funding of SOF105 must be recorded in the Learning Delivery FAM fields on all funded learning aims for these apprenticeships.
- 522. Data about each apprenticeship standard must be reported in the ILR by a single



lead provider as set out in the Funding Rules.

### 6.3.1 Funding model 81 standards: Eligibility for enhanced apprenticeship funding

523. For standards funded through Funding model 81, the Learning Delivery FAM type 'Eligibility for enhanced apprenticeship funding' (EEF) may be used in the following circumstances:

FAM type & code	Description	To be used where
EEF2	Entitlement to 16-18 apprenticeship funding where the learner is 19 or over	The apprentice is restarting a programme on or after their 19 <sup>th</sup> birthday but is entitled to 16-18 funding.  The apprentice is aged 19-24 and as an EHC plan.
EEF4	Entitlement to extended funding for apprentices	The apprentice is eligible for the additional 16-18 employer incentive. See the Funding Rules for details about the additional 16-18 employer incentive.

524. If an apprentice started their programme aged 18 and then is 19+ when they start one of their component aims within the programme, an EEF code is not required.

525. If an apprentice is recorded with the Learning Delivery FAM type EEF due to restarting their programme, then the Restart indicator (RES) must also be recorded in the Learning Delivery FAM fields.

### 6.3.2 Funding model 81 standards: recording financial data

526. You must record financial details about the programme in the Apprenticeship Financial Records entity. This information is used to calculate government funding for the apprentice.
527. Each apprenticeship standard programme will have a number of separate financial records associated with the programme aim.
528. The Apprenticeship financial record dataset contains the following fields:

Field Name	Definition
Apprenticeship financial type	Indicates the type of financial information being recorded: <ul style="list-style-type: none"> <li>TNP identifies negotiated price details</li> <li>PMR identifies cash payment records</li> </ul>
Apprenticeship financial code	Identifies different types of TNP or PMR records
Apprenticeship financial record date	The date associated with the financial record: <ul style="list-style-type: none"> <li>The date on a TNP record is the date that the price applies from</li> <li>The date on a PMR record is the date on which the payment is received from the employer. For a reimbursement payment, the PMR date is the date on which the payment is sent to the</li> </ul>

employer.

Apprenticeship financial amount      The amount of money recorded on the financial record. This is the actual amount in pounds, to the nearest whole pound. This value does not include VAT.

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529.      There are two Financial types that can be recorded:

- Total negotiated price (TNP): this is the total price agreed for delivery of all the training and assessment for the apprenticeship programme. This value is the cost to you as the provider for the delivery of the apprenticeship programme and must include both the employer co-payment contribution and the government co-payment funding.
- Payment record (PMR): the individual payment records of the cash contributions from the employer to the training provider or assessment provider. Cash payments reimbursed to the employer are also recorded as payment records.

530.      The table below lists the codes available for each financial type:

Apprenticeship financial type	Apprenticeship financial code	Description and use
TNP	1	Total negotiated training cost
TNP	2	Total negotiated assessment cost
PMR	1	Payment record of cash contribution made by employer to provider for training costs
PMR	2	Payment record of cash contribution made by employer to provider for assessment costs
PMR	3	Employer payment for training or assessment reimbursed by provider. This must not be used to record transfer of incentive payments to the employer.

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531.      At the start of the apprenticeship, you should record two TNP records: one for the total negotiated price for the training (TNP1) and one for the total negotiated price of the assessment (TNP2) as agreed between the employer and provider. Set the Apprenticeship financial record date on these records to the start date of the apprenticeship programme.

532.      You must record an agreed training price (TNP1) at the start of the programme.

533.      If the assessment price (TNP2) has not been agreed at the start of the programme, then this can be recorded at a later point: an estimated cost should not be recorded. This price must be agreed and recorded on the ILR before any assessment payments (PMR2) are recorded.

534.      The Apprenticeship financial amount recorded against TNP1 and TNP2 must equal the total cost to the provider for delivery of the entire apprenticeship programme, this includes:

- The employer co-payment contribution, and
  - The government co-payment funding.
535. The values recorded in the TNP records must be the total cost for the delivery of the whole apprenticeship programme and not just the value for the current year.
536. If at any point during the apprenticeship programme a new price for training, assessment, or both is negotiated, then this must be recorded in a new price record (AFinType = TNP). You must record the date that the new price applies from in the AFinDate field.
537. You must agree a payment schedule with the employer for the required cash contributions.
538. When you have received a cash payment, you must record this on the ILR using a separate payment (PMR) record for each payment that the employer makes to you. This must include the date you received payment from the employer and the amount of the payment (in pounds, to the nearest whole pound).
539. The payment records are used to calculate and trigger government funding. Each time a payment is recorded on the ILR, a Core Government Contribution (CGC) payment is triggered until either 2/3 of the agreed total price has been paid or the core government contribution cap has been reached.
540. The amount entered on the payment records must not include the VAT element where this exists.
541. The payment records must only be used to record payments actually received from the employer. They should not be used to record what the employer is expected to pay, nor should it record the ESFA's contribution.
542. Cash contribution payments made by the employer must continue to be recorded on the ILR for the duration of the apprenticeship.
543. You must ensure that the Apprenticeship Financial Record dataset is accurate because this is used in the calculation and payment of government co-payment funding. In particular, please ensure that the financial amounts and dates recorded are correct as these will impact on funding.
544. The Apprenticeship Financial Record dataset must contain all payment records for the full duration of the programme. Where a programme is continuing across academic years, all Financial Record data from the previous year must be migrated into the current ILR and continue to be returned until the programme ends.

***Worked Example of a Funding model 81 Financial Record:***

- *An apprentice starts a Software Developer apprenticeship on 1 September 2016 with a planned end date of 30 September 2018. This apprenticeship standard has a funding cap of band 6.*
- *A price for training of £12,000 is agreed prior to the start of the programme, this value is the total cost to the provider and indicates an employer co-payment*

contribution of £4,000 and government co-payment funding of £8,000.

- A price for assessment of £6,000 is also agreed prior to the start of the programme, this indicates an employer co-payment contribution of £2,000 and government co-payment contribution of £4,000.
- The lead provider records two financial records in the ILR; one with Financial type TNP code 1 and one with Financial type TNP code 2. Both of these records have a Financial record date of the start date of the apprenticeship programme (1st September 2016). See rows 1 & 2 in the table below.
- The employer makes cash contribution payments to the lead provider according to an agreed schedule. The lead provider receives a payment of £2,000 from the employer on 2 September 2016, as agreed, and records this in the Financial Record entity using Financial type PMR code 1 (see row 3 in the table below).

### **Funding model 81 standards: recording eligibility for employer incentives**

545. The following guidance describes what you need to record on the ILR in order to trigger the apprenticeship standard incentive payments. Further details about these incentives can be found in the Funding Rules.
546. The **16-18 apprentice incentive**, which is earned for 16 to 18 year old apprentices, is triggered based on the apprentice's age at the start of their apprenticeship standard programme. You do not need to record additional data on the ILR to trigger this incentive, the apprentice's age at the start of the programme is automatically calculated. This incentive is paid in two parts: 50% after 90 days on the programme and 50% after 12 months on the programme.
547. The **small employer incentive**, which is earned for employers with fewer than 50 employees, is triggered based on the apprentice's employment status data. See *section 6.1.1* for details about how to identify an employer as a small employer on the ILR. This incentive is paid in full after 90 days on the programme.
548. The **completion incentive**, which is earned when an apprentice successfully completes their end point assessment and achieves the apprenticeship standard, is triggered based on data in the following Learning Delivery fields: Completion status, Outcome and Achievement date. This incentive is paid in full once the programme has been recorded on the ILR as completed (Completion status code 2) and achieved (Outcome code 1), the Achievement date is used as the trigger date for the incentive.
549. If you receive any incentive payments, these must not be recorded in the Apprenticeship Financial Record.

### **6.3.3 Funding model 81 standards: recording achievements**

550. When the apprenticeship standard has been achieved, the following should be recorded on the ILR:
- All learning aims within the programme must be closed with Learning actual end dates set to the date for the last learning activity of the aim(s).
  - The programme aim should be closed with the Learning actual end date

recorded as the last learning activity for the entire programme (including the end point assessment).

- The Outcome on the programme aim should be recorded as code 1 'Achieved' and the Achievement date recorded on the programme aim as the date on which the apprentice met the criteria for achievement funding as set out in the funding rules.

551. All open and closed learning aims that are part of the standard should be returned on the ILR until the programme is completed.

552. Where the standard is completed and achieved before 31 July 2019, this should be recorded in the 2018 to 2019 ILR data returns.

#### **6.3.4 Funding model 81 standards: recording changes**

553. Refer to the Funding Rules for the rules regarding changes in circumstances, such as agreed breaks in learning, withdrawals, transfers from one provider to another, or changes in employment.

554. Following a change in circumstances, you may need to reimburse the employer for learning that has already been paid for but that has not yet been delivered. In this circumstance you should record a payment record using code PMR3, the amount of this record should reflect the payment returned to the employer. This will enable the ESFA to recover any overpayment of the core government contribution (CGC) that has been made.

#### **Apprentice changes employer during the apprenticeship**

555. A new employment status record is added for the apprentice with the Employer identifier of the new employer.

556. No changes are made to the programme aim and component learning aim records for the apprentice.

557. New TNP records with code 1 and/or 2 should be recorded when the total training and/or assessment price for delivery of the whole apprenticeship programme has changed following re-negotiation with the new employer. The TNP records must continue to record the total training and assessment costs for the entire standard and must not be changed to reflect the proportion of the cost that remains to be paid by the new employer.

#### **Changes in negotiated price during the programme**

558. If a new price for training and/or assessment is negotiated at any point during the apprenticeship programme, then this must be recorded in a new price record (AFinType = TNP). You must record the date that the new price applies from in the AFinDate field.

#### **Example:**

- *An apprentice started an apprenticeship standard programme on 1 April 2017. A training price of £10,000 was agreed prior to the start of the programme. An end point assessment price of £2,000 is later agreed on 1 August 2017. This is recorded as:*

AFinType	AFinCode	AFinDate	AFinAmount
TNP	1	01/04/2017	13000
TNP	2	01/08/2017	2000

- The assessment price is later re-negotiated (for example to include additional costs or further assessment). A new end point assessment price of £3,000 is agreed to apply from 1 May 2018. The financial details for the programme are updated to reflect this:

AFinType	AFinCode	AFinDate	AFinAmount
TNP	1	01/08/2017	13000
TNP	2	01/02/2017	2000
TNP	2	01/05/2018	3000

559. Where a price needs to change due to a data entry error, this must be amended on the original record before the R14 hard close deadline.

### Withdrawal from the apprenticeship programme

560. The programme aim and component learning aims should be closed.
561. Any payment adjustments needed should be recorded using PMR records.

#### Example

- An apprentice starts on an apprenticeship standard on 15 September 2016 then withdraws on 20 May 2017:

Programme aim	Learning start date	Learning planned end date	Learning actual end date	Completion status	Outcome	Withdrawal reason
	15 Sep 2016	30 Nov 2018	20 May 2017	3	3	Relevant code

- The Financial records for this apprentice are below:  
When the apprentice withdraws, the employer has already paid all of their employer contributions for the training (£5,000) and the provider has received the full government contribution of £10,000 for the training.  
However, only £12,000 of the total training has been delivered when the apprentice withdraws. The provider needs to reimburse the employer for an overpayment of £1,000 (recorded here as a PMR3 record), this will then enable the government contribution to be reclaimed.

AFinType	AFinCode	AFinDate	AFinAmount	ESFA funding triggered	ESFA funding to date
TNP	1	15/09/2016	15,000		

TNP	2	15/09/2016	3,000		
PMR	1	01/12/2016	3,000	£6,000	£6,000
PMR	1	01/04/2017	2,000	£4,000	£10,000
PMR	3	01/06/2017	1,000	-£2,000	£8,000

### Transfers to a different apprenticeship with the same provider

562. If an apprentice changes to a different framework or standard after 1 May 2017, and the new apprenticeship is funded, then the new apprenticeship will be recorded on Funding model 36. You must:

- Close the programme aim and all component learning aims (see the 'Closing aims' column in *Table 4*).
- Make any payment adjustments required (e.g. reimbursements) and update the Financial details to include the relevant PMR records.

Create a new programme and learning aims as required in accordance with the guidance for recording apprenticeships on Funding model 36.

### Transfers to the same apprenticeship with a different provider

563. If the apprentice transfers to a new provider but continues with the same apprenticeship standard programme, then the original provider must close the programme aim and all component learning aims (see Scenario 2 in *Table 5*). The original provider must also make any payment adjustments required and update the Financial details to include the relevant records (e.g. PMR3 reimbursements to the employer).

564. The new provider must record a new programme aim and aim component aims that the apprentice is continuing with. The aims must be recorded with the following:

Field name	Description
Learning start date	Date on which the apprentice restarts the aim
Original learning start date (from August 2013)	Date on which the apprentice originally started the programme with the previous provider, if known
Learning planned end date	New planned end date for the aim
Funding model	81
Funding adjustment for prior learning	The proportion of the learning aim still to be delivered (component aims only)
Restart indicator (Learning Delivery FAM)	Use code RES1
Eligibility for enhanced apprenticeship funding (Learning Delivery FAM)	Applicable code, if required

565. The price recorded by the new provider must take into account the prior learning delivered by the previous provider for this apprenticeship programme.

### Transfers to a different apprenticeship with a different provider

566. The original provider closes the ILR records for the apprentice and records any payment adjustments needed using PMR records.
567. The new provider creates new ILR records for the apprentice in accordance with the guidance for recording apprentices on Funding model 36.
568. The negotiated price for the apprenticeship at the new provider must take into account any relevant prior learning.

### Apprentice takes an agreed break in learning

569. If the apprentice is taking an agreed break in learning and intends to return, for example for economic reasons, long term sickness, maternity leave or religious trips, then the programme and component aims must be closed as in *Table 2*.
570. When the apprentice returns, a new programme aim and new component learning aim(s) are recorded. The original learning aims on the ILR must not be reopened.
571. Record the price details as required using AFinType = TNP and the applicable codes. The price recorded on the new programme aim should be the same as the price prior to the break in learning unless you and the employer have negotiated a new price for the programme.
572. Any new employer payments that are received following the break in learning must be recorded against the new programme aim.
573. You must continue to return all aims and financial records for the apprenticeship, including the records prior to the break in learning, until the apprenticeship is completed or the apprentice withdraws from the programme. The sum of all PMR records across both programme aims are used to calculate CGC payments.

### Example

- *An apprentice starts on an apprenticeship standard on 15 September 2016 then takes an agreed break in learning from 20 May 2017. On 8 August 2018 they return to their programme:*

Programme aim 1	Learning start date	Learning planned end date	Learning actual end date	Completion status	Outcome	Withdrawal reason
	15 Sep 2016	30 Nov 2018	20 May 2017	6	3	Data not returned

Financial records	Financial type	Financial code	Date	Amount	ESFA funding triggered	ESFA funding to date
	TNP	1	15 Sep	15,000		



		2016				
TNP	2	15 Sep 2016	3,000			
PMR	1	1 Dec 2016	3,000	£6,000		£6,000

Programme aim 2	Learning start date	Learning planned end date	Learning actual end date	Completion status	Restart indicator	Original learning start date
		8 Aug 2018	15 Feb 2019		1	RES1

Financial records	Financial type	Financial code	Date	Amount	ESFA funding triggered	ESFA funding to date
		TNP	1	8 Aug 2018	15,000	
	TNP	2	8 Aug 2018	3,000		£6,000
	PMR	1	1 Dec 2018	2,000	£4,000	£10,000
	PMR	2	1 Dec 2018	1,000	£2,000	£12,000

574. If an apprentice does not return from an agreed break in learning, then the learning aims must be updated to indicate that the apprentice has withdrawn (see *Table 1*).
575. An apprentice on Funding model 81 who takes a break in learning may return to their apprenticeship on Funding model 81, or can transfer to a different apprenticeship framework or standard on Funding model 36 if it is in the apprentice's best interests (see the apprenticeship funding rules).
576. If the apprentice transfers to a new programme on Funding model 36, then refer to the Funding model 36 data requirements below. The Funding model 81 apprenticeship aims will need to be updated to reflect that the apprentice has now withdrawn and transferred to a new programme. To do this, update the Completion status to code 3 and record Withdrawal reason code 40.

#### 6.4 Additional guidance for apprenticeship frameworks and standards recorded on Funding model 36

577. All funded apprenticeship programmes (including both frameworks and standards) started on or after 1 May 2017 are recorded on Funding model 36.
578. Source of funding of SOF105 must be recorded in the Learning Delivery FAM fields on all funded aims for these apprenticeships.
579. For apprenticeship programmes started on or after 1 May 2017, the collection

requirements for some ILR fields are affected by the contract you have for delivery of the apprenticeship. The contract will be either:

- A contract for services with the employer. This will occur where the employer who has employed the apprentice has a pay bill over £3million and is consequently required to contribute to the apprenticeship levy. In this guidance, we refer to these as ‘levy paying’ employers.
- A contract for services with the Education and Skills Funding Agency. This will occur where the employer who has employed the apprentice does not have a pay bill over £3million and so is not required to contribute to the apprenticeship levy. In this guidance, we refer to these as ‘non-levy paying’ employers.

580. The Funding adjustment for prior learning field may be used, if applicable, for English and maths learning aims. The funding adjustment is applied to monthly funding instalments, including balancing payments were applicable.

581. The following guidance should be read alongside the apprenticeship funding and performance management rules and the apprenticeship technical funding guide for starts from May 2017.

#### **6.4.1 Funding model 36: Unique learner number and National Insurance number**

582. For apprenticeships funded through a contract for services with the employer (identified by recording Learning Delivery FAM code ACT1), you must have a ULN for the apprentice at the point you record them on the ILR. You cannot record a temporary ULN of 9999999999 for these apprentices.

583. You must also complete the NI number for these apprentices (where Learning Delivery FAM = ACT1).

584. The completion of these fields is enforced by validation rules.

#### **6.4.2 Funding model 36: Learning Delivery FAM Eligibility for enhanced apprenticeship funding**

585. For apprenticeships funded through Funding model 36, the Learning Delivery FAM type ‘Eligibility for enhanced apprenticeship funding’ (EEF) should be used to indicate eligibility for additional payments:

<b>FAM type &amp; code</b>	<b>Description</b>	<b>To be used where</b>
EEF2	Entitlement to 16-18 apprenticeship funding where the learner is 19 or over	<p>The apprentice is restarting a programme on or after their 19<sup>th</sup> birthday and was aged 16-18 when they originally started.</p> <p>The apprentice is aged 19-24 and as an EHC plan.</p> <p>The apprentice has transferred to a new apprenticeship pathway within the same framework, was aged 16-18 at the start of the programme, and is aged 19+ when they transfer to the new pathway. This only applies when the original</p>

programme was funded through Funding model 36.

EEF4	Entitlement to extended funding for apprentices	The apprentice has been in the care of the local authority as defined in the Funding Rules.
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586. If an apprentice started their programme aged 18 and then is 19+ when they start one of their component aims within the programme, an EEF code is not required.
587. If an apprentice is recorded with the FAM type EEF due to restarting their programme, then the Restart indicator (RES) must also be recorded in the Learning Delivery FAM fields.

### **Apprenticeship contract type**

588. The apprenticeship contract type identifies the contract type under which an apprentice is being funded and the party with which you have a Contract for Services to deliver the apprenticeship programme. The contract will be with either a levy paying employer or the ESFA.
589. The Apprenticeship contract type (ACT) FAM type must be recorded on all apprenticeship programme aims, and English and maths component aims.
590. You must also complete the Date applies from field; the Date applies from for the first ACT record must be the same as the Learning start date. The Date applies to field should only be completed when either:
- you need to add a new ACT record with a later Date applies from, or
  - the aim has been closed and the Learning actual end date returned.
591. If there is a change in the Apprenticeship contract type during the programme, then a new ACT record must be added in the Learning Delivery FAM fields:
- Return the 'Date applies to' field on the previous ACT record with the date that day before the change in contract type came into effect.
  - Create a new ACT record on the programme aim and English and maths component aims with a 'Date applies from' of the day after the 'Date applies to' on the previous ACT record.
  - Do not amend the learning aim record.
592. The ACT records for the programme aim and English and maths aims for the same apprenticeship programme must all have the same FAM code (either ACT1 or ACT2). At any point in time, an apprentice cannot be recorded on both ACT1 and ACT2: the codes recorded on their aims must be the same.

### **Example**

- *An apprentice starts their apprenticeship on 1 September 2018 with a planned duration of 13 months, and is employed by a levy paying employer. A Learning Delivery FAM record will be recorded with code ACT1, the Date applies from will be 1 September 2018.*
- *On 4 December 2018, the apprentice changes employer to a non-levy paying employer, a Date applies to of 3 December 2017 is recorded on the existing ACT record. A new ACT record with code ACT2 is added, the Date applies from is*

recorded as 4 December 2018.

- The apprentice is also taking an English aim as part of their apprenticeship, this aim starts on 10 January 2019 and is planned to finish at the end of the programme. A Learning Delivery FAM record will be recorded on this aim with code ACT2, the Date applies from will be recorded as 10 January 2019.

593. If there are multiple ACT records on a learning aim, then they must have consecutive Date applies to and Date applies from dates.

### 6.4.3 Funding model 36: recording financial data

594. You must return financial details about the programme in the Apprenticeship Financial Record dataset. This information is used to calculate funding for the apprentice.

595. Each apprenticeship programme will have a number of separate financial records associated with the programme aim.

596. You must ensure that data in the Apprenticeship Financial Record dataset is accurate and complete. In particular, please ensure that the financial amounts and dates recorded are correct as these will impact on funding.

597. The Apprenticeship Financial Record dataset contains the following fields:

Field Name	Definition
Apprenticeship financial type	Indicates the type of financial information being recorded: <ul style="list-style-type: none"><li>• TNP identifies negotiated price details</li><li>• PMR identifies payment records</li></ul>
Apprenticeship financial code	Identifies different types of TNP or PMR records
Apprenticeship financial record date	The date associated with the financial record: <ul style="list-style-type: none"><li>• The date on a TNP record is the date that the price applies from</li><li>• The date on a PMR record is the date on which the payment is received from the employer. For a reimbursement payment, the PMR date is the date on which the payment is sent to the employer.</li></ul>
Apprenticeship financial amount	The amount of money recorded on the financial record. This is the actual amount in pounds, to the nearest whole pound. This value does not include VAT.

598. There are two financial types that can be recorded:

- Total negotiated price (TNP): this is the total price agreed between the employer and provider as the cost to the provider for the delivery of the apprenticeship programme.
- Payment record (PMR): this is used to record co-investment contributions from the employer to the training provider or (for standards only) for the end point assessment organisation. Co-investment contributions reimbursed to the employer are also recorded as payment records. See *paragraph 612* for details about when employer co-investment cash contributions should be

made.

599. The table below lists the codes available for each financial type:

Financial type	Financial code	Description and use
TNP	1	Total negotiated training cost
TNP	2	Total negotiated end point assessment cost – apprenticeship standards only
TNP	3	Residual training cost – recorded if applicable,
TNP	4	Residual assessment cost – recorded if applicable for apprenticeship standards only,
PMR	1	Record of cash contribution payment made by the employer to the provider for training costs
PMR	2	Record of cash contribution payment made by the employer to the provider for assessment costs – apprenticeship standards only
PMR	3	Record of cash reimbursement for training or assessment paid by the provider to the employer.

**This must not be used to record transfer of additional payments from the provider to the employer.**

600. At the start of the apprenticeship programme, you must record the price agreed between you and the employer. For apprenticeship standards, this should be recorded using two TNP records: one for the negotiated price for training (TNP1 or 3) and one for the negotiated price for the end point assessment (TNP2 or TNP4) as agreed between you and the employer. For apprenticeship frameworks, you only need to record the negotiated price for training (TNP1 or 3).
601. The assessment price (TNP2 or 4) must not be recorded until the end point assessment organisation has been identified. If the assessment price and end point assessment organisation have not been agreed at the start of the programme, then this can be recorded on the ILR at a later point; an estimated assessment cost should not be recorded.
602. The assessment price and organisation must be recorded on the ILR before any assessment co-investment payments (PMR2) can be recorded.
603. After a residual price (TNP3 or 4) has been recorded for a programme, any subsequent price records for that programme must also be residual prices. You must not record a new total price (TNP1 or 2) after recording a residual price for the same programme.
604. The financial record date for the initial record(s) must be the start date of the apprenticeship programme aim.
605. The total of the financial amount(s) recorded on the apprenticeship programme aim for the negotiated price (TNP) records must equal the total cost to deliver the apprenticeship programme.

606. Financial amounts recorded on the ILR do not include the following:
- Value added tax (VAT)
  - Additional payments which may be payable to you or to the employer
  - Costs of learning support, or
  - Costs of delivering English and/or maths up to level 2.
607. There are some scenarios, following a change in circumstances, in which you must record the total price for the remaining amount of training and/or assessment to be delivered.
608. If the employer is making co-funding contributions, you must record these on the ILR when you receive them using a payment (PMR) record. You must record a separate payment record for each payment that the employer makes to you. The record must include the date you received the payment from the employer and the amount of the payment.
609. Payment records must only be used to record co-investment payments actually received from the employer.
610. If you are a provider delivering an apprenticeship to your own employees, then you do not need to record co-investment payments on the ILR. In this circumstance, you must record code LDM356 'Apprenticeship being delivered to own employees' in the Learning Delivery Funding and Monitoring fields on the apprenticeship programme aim.
611. All Financial amounts recorded on the ILR must be recorded in pounds, to the nearest whole pound, and must not include the VAT element where this exists.
612. Employers are required to make co-investment cash contributions in the following circumstances:
- The employer is a non-levy paying employer and the apprentice is funded through co-investment
  - The employer is a levy paying employer who has spent all of their digital account funds and so the apprenticeship is being fully or partially funded through co-investment
  - The negotiated price for the apprenticeship exceeds the funding band, the employer is responsible for the price that is over the funding band.

### **Example**

- *An apprentice starts a Software Developer apprenticeship standard programme on 1 August 2018 with a planned end date of 1 November 2019.*
- *A price for training of £13,000 is agreed prior to the start of the programme, this value is the total cost to the provider for the entire 15 months of the programme.*
- *A price for the end point assessment of £3,250 is also agreed prior to the start of the programme.*
- *The lead provider records two financial records on the ILR: one with code TNP1 and one with code TNP2. Both of these records have a Financial record date of the start date of the apprenticeship programme (1 August 2018). See the table*

below.

<b>AFinType</b>	<b>AFinCode</b>	<b>AFinDate</b>	<b>AFinAmount</b>
TNP	1	01/08/2018	13000
TNP	2	01/08/2018	3250

- Refer to the *Apprenticeship technical funding guidance for starts from May 2017* for details about how funding is calculated for the programme.

613. For more information about apprenticeship funding and employer payments, refer to the apprenticeship funding rules.

### **Additional payments**

614. Additional payments, as defined in the funding rules, are automatically calculated from your ILR records: you do not need to record any extra information to generate these payments.

615. If you receive any additional payments, these must not be recorded in the Apprenticeship Financial Record.

#### **6.4.4 Funding model 36: recording learning outcomes**

616. You must regularly complete and update the ILR to reflect progress in the apprentice's programme.

617. In the scenario where an apprentice undertakes an aim as part of the apprenticeship programme, finishes their learning for the aim, then takes the assessment (if required for the aim) and fails, then this aim should be closed and recorded as not achieved. Where this apprentice is identified as needing further support or additional learning in order to pass the assessment, a new learning aim should be recorded as a restart. However, if no further learning is required and the apprentice is only resitting the assessment, then a new aim must not be recorded.

### **Recording apprenticeship framework completions**

618. For apprenticeship frameworks, you must record the following when the apprenticeship has been completed:

- All the component learning aims within the programme must be closed with the Learning actual end date set to the date of the last learning activity for the aim(s).
- The programme aim should be closed with the Learning actual end date recorded as the date of the last learning activity for the entire programme.
- The Date applies to must be recorded on the latest Apprenticeship contract type FAM record as the same date as the Learning actual end date for the programme aim.

619. When the apprenticeship framework is achieved, the aims must be updated as above and the Outcome on the programme aim recorded as code 1 'Achieved'.

620. All open and closed learning aims that are part of the apprenticeship framework programme must be returned on the ILR until the framework is completed.

## Recording apprenticeship standard completions

621. For apprenticeship standards, when all of the training and end point assessment elements have been completed, the following should be recorded:
- All the component learning aims within the programme must be closed with the Learning actual end date set to the date of the last learning activity for the aim(s).
  - The programme aim must be closed with the Learning actual end date recorded as the date the end point assessment for the programme was finished.
  - The Date applies to must be recorded on the latest Apprenticeship contract type FAM record as the same date as the Learning actual end date for the programme aim.
622. When the apprenticeship standard is achieved, the aims must be updated as above and the Outcome on the programme aim recorded as code 1 'Achieved'.
623. All open and closed learning aims that are part of the apprenticeship standard programme must be returned on the ILR until the standard is completed.
624. In order to be recorded as 'Completed' (Completion status code 2), both the training and end point assessment activities for the programme must be completed. If either of these have not been completed, then the programme aim cannot be recorded with Completion status code 2.

### 6.4.5 Funding model 36: recording changes

#### Apprentice changes employer during the apprenticeship

625. If there is a change to the apprentice's employer during their programme, then you must record a new Learner Employment Status record to reflect this.
626. A new Apprenticeship contract type FAM record must be added if the new employer has a different apprenticeship contract type to the previous employer, for example if the apprentice has changes from a levy paying employer to a non-levy paying employer then a new FAM record with ACT2 must be recorded. There should be no changes made to the learning aims.
627. You must record a new price record on the programme aim; this price must reflect the cost of the remaining amount of the programme to be delivered with the new employer. This residual cost must be recording using AFinCode = 3 for training and AFinCode = 4 for assessment, as applicable.
628. If an apprentice is made redundant, you must record this in a new Learner Employment Status record with Employment status code 11 or 12, as applicable. While the apprentice is eligible to continue their programme (see the apprenticeship funding rules), an Apprenticeship contract type FAM of ACT2 must be recorded: if the FAM code is not already ACT2 then a new record must be added.
629. If an apprentice becomes unemployed and is not eligible to continue their programme, they must be withdrawn from the apprenticeship.



**Example: An apprentice on a standard changes employer from a levy paying employer to a non-levy paying employer**

<b>Learner Employment Status</b>				
<i>Employment status</i>	<i>Date applies</i>	<i>Employer ID</i>		
10	31 Jul 2018	123456789		
10	1 Feb 2019	987654321		

<b>Learning Delivery record</b>				
	<i>Learning start date</i>	<i>Learning planned end date</i>	<i>Learning actual end date</i>	<i>Completion status</i>
Programme aim	1 Aug 2018	20 Aug 2019		1

<b>Learning Delivery FAM record</b>			
<i>FAM Type</i>	<i>FAM Code</i>	<i>Date from</i>	<i>Date to</i>
SOF	105	Not returned	Not returned
ACT	1	1 Aug 2018	31 Jan 2019
ACT	2	1 Feb 2019	Not returned

<b>Apprenticeship Financial Record</b>				
<i>AFinType</i>	<i>AFinCode</i>	<i>AFinDate</i>	<i>AFinAmount</i>	<i>Notes</i>
TNP	1	1 Aug 2018	12000	Agreed training price
TNP	2	1 Aug 2018	3000	Agreed assessment price
TNP	3	1 Feb 2019	6000	Agreed residual training price

**Changes in negotiated price during the programme**

630. If a new price for training and/or assessment is negotiated at any point during the apprenticeship programme, then this must be recorded in a new price record (AFinType = TNP). You must record the date that the new price applies from in the AFinDate field.
631. If the previous price record for the programme was a total price (code 1 or 2), then the new price should also be a total price (code 1 or 2), unless the employer has changed. If the previous price was a residual price (code 3 or 4), then the new price must also be a residual price (code 3 or 4).

**Example:**

- An apprentice starts an apprenticeship standard programme on 1 August 2018. A training price of £13,000 is agreed prior to the start of the programme. An end point assessment price of £2,000 is later agreed on 1 February 2019. This is recorded as:

AFinType	AFinCode	AFinDate	AFinAmount
TNP	1	01/08/2018	13000
TNP	2	01/02/2019	2000

- The assessment price is later re-negotiated (for example to include additional costs or further assessment). A new end point assessment price of £3,000 is agreed to apply from 1 July 2019. The financial details for the programme are updated to reflect this:

AFinType	AFinCode	AFinDate	AFinAmount
TNP	1	01/08/2018	13000
TNP	2	01/02/2019	2000
TNP	2	01/07/2019	3000

632. See the section about changes in employer above for details about when you might record a residual price.
633. Where a price needs to change due to a data entry error, this must be amended on the original record before the R14 hard close deadline.
634. The latest price records, based on the financial record date, are used in the funding calculation, see the apprenticeship technical funding guide for further details.

### Withdrawal from the apprenticeship programme

635. The programme aim and component learning aims should be closed.
636. The Date applies to for the latest Apprenticeship contract type FAM records (on the programme aim and any English or maths aims) must be set to the Learning actual end date of the aim.
637. Where applicable, employer co-investment should be reconciled to the date of withdrawal. Any employer payments for training and/or assessment that has not been delivered by the withdrawal date should be repaid to the employer. You must record repayments made to the employer with AFinType = PMR and AFinCode = 3.
638. If the apprentice withdraws without completing a single episode of learning, then they must not be included in the ILR.

### **Example: An apprentice on a standard is employed with a non-levy paying employer and withdraws after 6 months**

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#### Learning Delivery record

	Learning start date	Learning planned end date	Learning actual end date	Completion status	Outcome	Withdrawal reason
Programme aim 1	1 Aug 2018	20 Aug 2019	10 Feb 2019	3	3	Relevant code

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**Learning Delivery FAM record**

<i>FAM Type</i>	<i>FAM Code</i>	<i>Date from</i>	<i>Date to</i>
SOF	105	Not returned	Not returned
ACT	2	1 Aug 2018	10 Feb 2019

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**Apprenticeship Financial Record\***

<i>AFinType</i>	<i>AFinCode</i>	<i>AFinDate</i>	<i>AFinAmount</i>	<i>Notes</i>
TNP	1	1 Aug 2018	12000	Agreed training price
TNP	2	1 Aug 2018	3000	Agreed assessment price
PMR	1	1 Aug 2018	300	First employer contribution for the training
PMR	1	1 Nov 2018	300	Second employer contribution for the training
PMR	1	1 Feb 2019	300	Third employer contribution for the training
PMR	3	10 Feb 2019	300	Repayment from the provider to the employer for training not delivered

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\*The financial records in the example above are for illustrative purposes only. Refer to the apprenticeship funding rules for requirements regarding employer co-investment contributions.

**Transfers to a different apprenticeship with the same provider**

639. If the apprentice changes to a new framework, standard or pathway you must:

- Close the programme aim and any learning aims that the apprentice is no longer continuing with (see the 'Closing aims' column in *Table 4*), and update the Date applies to for any Apprenticeship contract type FAM Record on these aims.
- If applicable, record repayments of employer co-investment using AFinType = PMR and AFinCode = 3.

640. Create a new programme aim, and new learning aims if required. Record the new framework/standard/pathway as applicable; see *Table 9*. At least one price record must be returned on the new programme aim using AFinType = TNP.

641. If the apprentice is continuing with any of their existing component aims as part of the new programme, then these learning aims do not need to be closed. The learning start and planned end dates for these aims should not be amended. These continuing aims should be updated as follows:

- For framework programmes: the Framework code and Apprenticeship pathway fields should be amended to the new framework/pathway.
- For standard programmes: the Apprenticeship standard code should be amended to the new standard.

**Table 9: Recording new aims when an apprentice transfers to a different apprenticeship programme**

Field name	Programme aim	Component aims
Learning start date	Date on which the apprentice starts the new programme	Date on which the apprentice starts the new learning aim
Original learning start date	Data not returned	Data not returned
Learning planned end date	Planned end date for the new programme	Planned end date for the new aim
Framework code	New framework code (framework programmes only)	New framework code (if applicable)
Apprenticeship pathway	New apprenticeship pathway code (framework programmes only)	New apprenticeship pathway code (if applicable)
Apprenticeship standard code	New apprenticeship standard code (standard programmes only)	New apprenticeship standard code (if applicable)

642. If the apprentice is continuing on the same framework but has changed pathway, the Learning Delivery FAM type and code EEF2 (Eligibility for enhanced apprenticeship funding) may need to be recorded.

### Transfers to a different provider on the same or a different apprenticeship

643. The original provider closes the ILR records for the apprentice and records any repayment of co-investment as applicable using PMR records.

644. The new provider will create new learning aims for the apprentice with new start dates and planned end dates as applicable. The new provider must record the new price for the programme using AFinType = TNP and AFinCode 1 and 2 as applicable, the Apprenticeship contract type FAM must also be recorded.

### Progression from one apprenticeship framework level to another

645. If an apprentice progresses from an Intermediate-level Apprenticeship framework to an Advanced-level Apprenticeship framework, two programme aims would be recorded:

- One closed and completed programme aim for the Intermediate-level Apprenticeship, and
- One open and current programme aim for the Advanced-level Apprenticeship.

646. The Learning start date for the new programme aim must not overlap with the Learning actual end date for the completed programme aim.

### Apprentice takes an agreed break in learning

647. If the apprentice is taking an agreed break in learning and intends to return, for example for economic reasons, long term sickness, maternity leave or religious trips, then the programme and component aims must be closed as in *Table 2*.

648. The Date applies to for the latest Apprenticeship contract type FAM records (on the programme aim and any English or maths aims) must be set to the Learning actual end date of the aim.

649. Record any repayments of employer co-investment, if applicable, using AFinType

= PMR and AFinCode = 3.

650. You must not record a break in learning unless the employer and apprentice have agreed this, the apprentice is intending to returning to learning at a later point, and you have evidence supporting this.
651. When the apprentice returns, a new programme aim and new component learning aim(s) are recorded as in *Table 10* below. The original learning aims on the ILR must not be reopened.
652. Record the price details as required using AFinType = TNP and the applicable codes. The price recorded on the new programme aim should be the same as the price prior to the break in learning unless you and the employer have negotiated a new price for the programme.
653. You must continue to return all aims and financial records for the apprenticeship, including the records prior to the break in learning, until the apprenticeship is completed or the apprentice withdraws from the programme.
654. If an apprentice does not return from an agreed break in learning, then the learning aims must be updated to indicate that the apprentice has withdrawn (see *Table 1*).

**Table 10: Recording new aims when an apprentice returns from an agreed break in learning**

Field name	Programme aim	Component aims
Learning start date	Date on which the apprentice restarts the programme after the break	Date on which the apprentice restarts the learning aim after the break
Original learning start date	Date on which the apprentice originally started the programme	Date on which the apprentice originally started the learning aim
Learning planned end date	New planned end date for the programme	New planned end date for the learning aim
Funding adjustment for prior learning	Not returned	Proportion of the aim still to be delivered (English and maths aims only)
<b><i>Learning Delivery FAM</i></b>		
Restart indicator	Use code RES1	Use code RES1
Eligibility for enhanced apprenticeship funding	Relevant code, if applicable	Relevant code, if applicable
Apprenticeship contract type	Relevant code	Relevant code (English and maths aims only)
Date applies from*	Programme start date (ACT record only)	Learning aim start date (ACT records only)
Date applies to*	Not returned	Not returned

\**The Date applies from and Date applies to fields are also recorded for Learning support funding records, if applicable, refer to page 43 for guidance about recording Learning support funding.*

655. If an apprentice on an apprenticeship framework programme has already completed the competency and/or knowledge aims of an apprenticeship programme prior to a break in learning, then these should continue to be returned

as part of the ILR records.

656. You must continue to report an apprentice on a break in learning in your ILR records until either the apprentice returns and restarts their learning, or you report the apprentice as having withdrawn.
657. If the apprentice was on a learning aim prior to their break that is no longer valid when they return (for example, the certification date has passed), then you cannot class this as a break in learning. This limits the length of time that a learner can have as a break in learning.

**Example: An apprentice is employed with a levy paying employer, takes an agreed break in learning and then returns to the apprenticeship with the same employer**

*Programme aim 1 – closed when the learner leaves for the break*

**Learning Delivery record**

	<i>Learning start date</i>	<i>Learning planned end date</i>	<i>Learning actual end date</i>	<i>Completion status</i>	<i>Outcome</i>	<i>Withdrawal reason</i>
Programme aim 1	1 Aug 2018	20 Aug 2019	10 Feb 2019	6	3	Relevant code

**Learning Delivery FAM record**

<i>FAM Type</i>	<i>FAM Code</i>	<i>Date from</i>	<i>Date to</i>
SOF	105	Not returned	Not returned
ACT	1	1 Aug 2018	10 Feb 2019

**Apprenticeship Financial Record**

<i>AFinType</i>	<i>AFinCode</i>	<i>AFinDate</i>	<i>AFinAmount</i>	<i>Notes</i>
TNP	1	1 Aug 2018	12000	Agreed training price
TNP	2	1 Aug 2018	3000	Agreed assessment price

*Programme aim 2 – recorded when the apprentice restarts after the break*

**Learning Delivery record**

	<i>Learning start date</i>	<i>Learning planned end date</i>	<i>Learning actual end date</i>	<i>Completion status</i>	<i>Original learning start date</i>
Programme aim 2	1 Jul 2019	20 Jan 2020		1	1 Aug 2018

**Learning Delivery FAM record**

<i>FAM Type</i>	<i>FAM Code</i>	<i>Date from</i>	<i>Date to</i>
SOF	105	Not returned	Not returned
RES	1	Not returned	Not returned
ACT	1	1 Jul 2019	Not returned

**Apprenticeship Financial Record**

<i>AFinType</i>	<i>AFinCode</i>	<i>AFinDate</i>	<i>AFinAmount</i>	<i>Notes</i>
TNP	1	1 Jul 2019	12000	Agreed training price

## Section 7 Completing the ILR: recording traineeship programmes

658. Traineeships are composed of the following core elements: work placement, work preparation, and English and maths were required. Learners may also undertake additional learning aims as part of the flexible element of the programme.
659. Further information about traineeships can be found in the ESFA funding documents and in the framework for delivery.
660. Traineeships are recorded on the ILR using the same programme structures as apprenticeships. They are composed of one programme aim (Learning aim reference = ZPROG001) and a number of component learning aims.

### 7.1 Traineeships for 16 to 18 year olds

661. These are funded using the ESFA 16-19 per student funding methodology (previously called '16-19 EFA funding').
662. All learning aims must be recorded using Funding model code 25.
663. You must record the appropriate Source of funding based on your funding agreement:
- If you have a 16-19 (excluding apprenticeships) funding agreement with the ESFA, then the Source of funding must be recorded using code SOF107 in the Learning Delivery FAM fields.
  - If you have an Adult skills funding agreement and do not have a 16-19 (excluding apprenticeships) funding agreement, then the Source of funding must be recorded using code SOF105 in the Learning Delivery FAM fields.
  - If you have both a 16-19 funding agreement and an Adult skills funding agreement, then the Source of funding for traineeships for 16 to 18 year old learners must be SOF107.
664. The Programme aim must be recorded as Aim type code 1, and the Work experience aim must be recorded as the core aim using Aim type code 5. All other aims must be recorded as a component aim using Aim type code 3. If the work experience takes place across two teaching years, then a separate learning aim is recorded in each teaching year.
665. The Planned learning hours field should include the hours undertaken on approved qualifications, including regulated work preparation qualifications, English and maths.
666. The Planned employability, enrichment and pastoral hours field should include the planned hours for work experience, all non-regulated work preparation and other non-qualification activities.
667. If the learner progresses to an apprenticeship in the same year after completing

their traineeship, then the planned hours for the traineeship must continue to be returned. Learning hours undertaken within the apprenticeship are not recorded.

## **7.2 Traineeships for 19 to 24 year olds**

- 668. These are funded using the Adult skills funding model.
- 669. All learning aims must be recorded using Funding model code 35.
- 670. The Source of funding must be recorded using code SOF105 in the Learning Delivery FAM fields.
- 671. You must record all learning aims that are part of the traineeship programme, including both the work preparation and work experience aims.
- 672. All traineeship programmes for 19 to 24 year old learners should have both work experience and work preparation learning aims.
- 673. Learning support funding (LSF) is recorded on the programme aim for a traineeship. If the learner continues with English and/or maths aims after the traineeship programme is completed, then the LSF will need to be recorded on either the English or the maths aim as follows:
  - For the LSF record on the programme aim, set the 'Date applies to' to the Learning actual end date of the programme aim.
  - Create a new LSF record on either the English or maths aim with a 'Date applies from' of the day following the programme end date.

## **7.3 Work experience**

- 674. All traineeships must have a single work experience learning aim recorded using the learning aim reference code ZWRKX001 from the LARS database.
- 675. For 16 to 18 year old traineeships, the work experience aim must be recorded as the core aim (Aim type = 5).
- 676. For 19 to 24 year old traineeships, the work experience aim must be recorded as a component aim (Aim type = 3).
- 677. If the learner undertakes multiple work placements during their traineeship, then these are recorded as separate work placement records attached to the single work experience learning aim:
  - For 16 to 18 year old learners, the work experience aim must contain work placement records for all work placements undertaken in the current teaching year.
  - For 19 to 24 year old learners, the work experience aim should contain work placement records for the whole traineeship programme. This can include placements planned for the following teaching year.
- 678. The details about each separate work placement are recorded in an additional work placement record that is linked to the work experience learning aim. Each work placement record includes the start and planned end date of the placement, and the employer identifier from the Employer Data Service .



- The Work placement hours field must also be returned on the work placement entity. This field records the hours planned to be undertaken for each individual work placement record.
- A value of 1 must be returned in the Work placement hours field for all work placement records on the work experience aim in the following circumstances:
  - Continuing work placement records for 19+ traineeships (funding through Funding model 35),
  - Where the aim was closed in the previous year's ILR but must continue to be returned in the current year's ILR (see the migration specification and rules in Appendix B).

679. All traineeship work placements must be with an external employer and the employer identifier must be recorded.
680. The employer for work experience should be identified before the learner starts a traineeship or within four weeks of starting. A learner can be recording on the ILR as having started a traineeship even if the work experience and the employer are not yet finalised.
681. The Learning start date for the work experience aim must be the date on which the learner begins their work experience activity. This date may be after programme start date if the work placement is planned to start in the future, or if the placement is yet to be finalised.
682. If the learner leaves the traineeship programme before starting their work placement, then the work experience aim must be removed from the ILR return. In this circumstance, an alternative core aim must be identified for 16-19 funded learners and recorded as "withdrawn".

#### **7.4 Work preparation**

683. Work preparation can consist of either a regulated qualification or a non-regulated learning aim.
684. For non-regulated work preparation aims, the learning aim you record depends on whether the traineeship is 16-19 funded or Adult skills funded:
- 16 to 18 traineeships (16-19 funded) should record one of the non-regulated work preparation aims from category E of the 'Learning Aim Class Codes' document (located in Section 14 Related Links to Documents Information section).
  - 19 to 24 traineeships (Adult skills funded) should record one of the non-regulated work preparation aims from category A of Learning Aim Class Codes' document (located in Section 14 Related Links to Documents and Information section).

#### **7.5 Traineeships that spread across more than one teaching year**

685. If the traineeship programme spreads across more than one teaching year, then

all of the learning aims (including the programme aim) that are part of the traineeship programme should be recorded in the following year's ILR returns, including aims that were completed in the first teaching year.

686. If the learner is continuing with the English and/or maths elements of a traineeship in a second teaching year when the rest of the programme was completed in the first year, then the completed programme aim, component aims, and Destination and Progression data must continue to be returned in the following year's ILR returns.

## **7.6 Recording completion, achievement and retention**

687. The maximum duration for a traineeship programme is 6 months. The work placement, work preparation and flexible elements must be completed within this 6-month period. The programme aim for the traineeship should be closed after 6 months.
688. If a learner does not complete the English and maths elements of the traineeship within 6 months, then these can continue to be funded until they are completed. The traineeship programme aim and other component aims must be closed. The English and maths learning aims will remain open, no re-coding of these aims is required and they will continue to be recorded with a Programme type code of 24.
689. Where the programme is complete but the outcome is not yet known, then the Learning actual end date should be entered and code 8 recorded in the Outcome field on the programme aim.
690. As soon as you have established that a learner has met the destination criteria for achievement, then this should be recorded on the ILR.
691. Traineeship programmes recorded as successfully achieved (Outcome = 1) should have both work experience and work preparation component aims.
692. The achievement date must be recorded for all programmes that have an Outcome of 'achieved' recorded. This is the date on which the learner has met the requirements for progression to an apprenticeship, job or further learning (see the ESFA funding documentation for full details). For example: the achievement date is the date on which the learner has been in employment for 8 weeks or the date on which the learner met the funding qualifying period for an apprenticeship or further learning.
693. If the Achievement date is on or after 1 August 2018 and before 1 August 2019, then this must be reported in the 2018 to 2019 ILR returns (before R14) in order to earn achievement funding in the 2018 to 2019 year for Adult skills funded traineeships.
694. It is important that you establish the destination of all learners who completed a traineeship programme in the current year's ILR before R14 in order to determine whether they have met the criteria for achievement funding in current year.
695. For traineeship programmes that start and finish in the current year, the Achievement date must be within 6 months of the Programme actual end date to

earn achievement funding.

696. Outcomes for the individual component aims should be recorded in the usual way.

## **7.7 Recording early leavers and transfers**

### **Transfer from traineeship to a study programme: 16-19 funded learner**

697. Where a 16-19 funded learner transfers from a traineeship programme to a study programme and stays with you as the same provider, the traineeship programme should be closed with a Withdrawal reason of 'transfer' (code 40). Any new learning aims being undertaken must be recorded, including a new core aim.

698. If the learner is continuing with English or maths aims that they have already started, then these are left open and unchanged

699. The planned hours fields are updated.

### **Transfer from traineeship to an apprenticeship**

700. Where a 16-19 or Adult skills funded learner transfers from a traineeship to an apprenticeship and stays with you as the same provider, all aims in the traineeship programme must be closed with a Withdrawal reason of 'transfer' (code 40). New aims being undertaken as part of the apprenticeship programme are recorded.

701. If the learner is continuing with an English or maths aim that they have already started as part of the traineeship programme, then this aim must be recorded as closed and a new aim opened as part of the apprenticeship programme using Funding model code 36. The Funding adjustment for prior learning field must be completed, and the negotiated price (AFinType = TNP) for the apprenticeship programme must take into account any learning already done on these aims.

702. If an Adult skills funded learner transfers to an apprenticeship with a different provider, all aims in the traineeship programme must be closed and the appropriate Withdrawal reason code recorded.

## **7.8 Recording destination and progression information**

703. A Destination and Progression record must be recorded for all traineeship learners at the end of the programme, even if the learner has not achieved a positive progression, or if you have been unable to contact the learner.

704. Destination and Progression data will be used in the current year to calculate and publish provider level outcomes for traineeships and apply minimum standards of performance to providers.

705. ILR validation rules are applied to all learners with a traineeship programme aim once an Outcome is recorded to ensure that there is a Destination and Progression record.

706. All traineeship programmes with a Learning actual end date prior to the end of the current year (1 August) and a known outcome (i.e. the Outcome recorded on the programme aim is not code 8), must have a Destination and Progression record in the current year. This may include Destination and Progression records with an

Outcome collection date up to the close of the R14 return.

707. If the learner completed their traineeship programme in the previous year but is continuing with the English or maths aim in the current year, you must continue to return the learner's Destination and Progression record in the current year's returns (including where the Outcome collection date is before 1 August).

**Example**

*If a learner completed their traineeship programme on 25 February 2019, then the traineeship programme aim should be closed with an Actual end date of 25/02/2019 and an Outcome status of code 8.*

*The provider contacts the learner after 6 months on 10 September and discovers that the learner got a job on 14 April and is still employed. The learner has met the achievement criteria for obtaining a job for 16 hours a week for 8 consecutive weeks within 6 months.*

*The traineeship programme aim can now be updated to record an Outcome status of code 1 and an Achievement date of 14 June 2019 (8 weeks from the start of the job).*

*A Destination and Progression record must also be added with the following information:*

- Outcome type and code = EMP2
- Outcome start date = 14 April 2019
- Outcome collection date = 10 September 2019

*The Outcome end date is not returned because the outcome is on-going.*

708. Where an Outcome of 'achieved' is recorded for a traineeship programme aim, there must be a Destination and Progression record to support this and show that the learner has met the criteria for a positive destination. This is validated.
709. If the programme Achievement date is in the current year, then this must be reported by R14 together with a Destination and Progression record in order to earn achievement funding.
710. **The tables below indicate how to record the Outcome fields in different scenarios:**

1. Learner completes the traineeship programme, achieves qualification aims but their destination is currently unknown

Aim	Completion Status	Actual End date	Outcome	Achievement date	ESFA Achievement funding	ESFA Retention funding	Employment Outcome (19-24 only)
Programme aim	Completed	Actual end date of programme	Learning activities complete but outcome not yet known	Not completed	No funding	100%	Not completed
Work Placement	Completed	On or before prog end date	Achieved	Not completed	No funding		Not completed
Work Prep	Completed	On or before prog end date	Achieved	Not completed	No funding		Not completed
English and/or maths (or other qualifications)	Completed	May extend beyond prog end date	Achieved	Not completed	Yes – 20% of qual aim		Not completed

2. Learner completes and achieves all learning aims and progresses to a job or apprenticeship or further learning

Aim	Completion Status	Actual End date	Outcome	Achievement date	ESFA Achievement funding	ESFA Retention funding	Employment Outcome (19-24 only)
Programme aim	Completed	Actual end date of programme	Achieved	Must be within 6 months of actual end date	Yes – 20% of single prog rate	100%	Not completed
Work Placement	Completed	On or before prog end date	Achieved	Not completed	No funding		Not completed
Work Prep	Completed	On or before prog end date	Achieved	Not completed	No funding		Not completed
English and/or maths (or other qualifications)	Completed	May extend beyond prog end date	Achieved	Not completed	Yes – 20% of qual aim		Not completed

3. Learner completes and achieves all learning aims but DOES NOT progress to a job or apprenticeship or further learning

Aim	Completion Status	Actual End date	Outcome	Achievement date	ESFA Achievement funding	ESFA Retention funding	Employment Outcome (19-24 only)
Programme aim	Completed	Actual end date of programme	Not Achieved	Not completed	No funding	100%	Not completed
Work Placement	Completed	On or before prog end date	Achieved	Not completed	No funding		Not completed
Work Prep	Completed	On or before prog end date	Achieved	Not completed	No funding		Not completed
English and/or maths (or other qualifications)	Completed	May extend beyond prog end date	Achieved	Not completed	Yes – 20% of qual aim		Not completed

4. Learner leaves traineeship early to progress to a job or apprenticeship or further learning

Aim	Completion Status	Actual End date	Outcome	Achievement date	ESFA Achievement funding	ESFA Retention funding	Employment Outcome (19-24 only)
Programme aim	Completed	Actual end date of programme	Achieved	Must be within 6 months of actual end date	Yes – 20% of single prog rate	100%	Not completed
Work Placement	Withdrawn	On or before prog end date	Not Achieved	Not completed	No funding		Not completed
Work Prep	Withdrawn	On or before prog end date	Not Achieved	Not completed	No funding		Not completed
English and/or maths (or other qualifications)	Withdrawn	May extend beyond prog end date	Not Achieved	Not completed	No funding		Yes – 10 % of qual aim

5. Learner leaves traineeship early but DOES NOT progress to a job or apprenticeship or further learning

Aim	Completion Status	Actual End date	Outcome	Achievement date	ESFA Achievement funding	ESFA Retention funding	Employment Outcome (19-24 only)
Programme aim	Withdrawn	Actual end date of programme	Not achieved	Not completed	No funding	50%	Not completed
Work Placement	Withdrawn	On or before prog end date	Not Achieved	Not completed	No funding		Not completed
Work Prep	Withdrawn	On or before prog end date	Not Achieved	Not completed	No funding		Not completed
English and/or maths (or other qualifications)	Withdrawn	May extend beyond prog end date	Not Achieved	Not completed	No funding		Not completed

## Section 8 Completing the ILR: recording 16-19 study programmes

711. 16-19 funded study programmes are recorded on the ILR using Funding model code 25. A programme aim record (Aim type = 1) is not required for these study programme unless the learner is doing a traineeship programme.
712. A study programme may be one of the following:
- **Vocational programme:** this could be a mixture of vocational qualifications and non-qualification activity (potentially, but not exclusively, work experience)
  - **Academic programme:** these could be a mixture of academic qualifications and non-qualification activity (this could include work experience)
  - **Mixed programmes:** these programmes consist of both vocational and academic qualification, possibly also including non-qualification activity (which could include work experience). Mixed programmes must still identify either an academic or vocational core aim depending on the focus of the programme: see the funding guidance for young people about core aims in study programmes for further information.
713. From September 2013, General Further Education (GFE) and Sixth Form colleges have been able to admit full-time 14 and 15 year olds and alternative provision census home educated 14 and 15 year olds with the costs being met by the ESFA. These students should be recorded with a Learning delivery monitoring code of LDM320 (14-16 Direct Funded Students in FE) or LDM321 (14-16 Home Educated Students) in the Learning Delivery FAM fields.

### 8.1 Planned hours fields

714. There are two fields in the ILR recorded at learner level to collect the planned timetabled hours for the learner at the start of their study programme:
- **Planned learning hours:** this field should be completed with the total planned timetabled hours for the learner, for the year, to be spent on DfE approved qualifications only.
  - **Planned employability, enrichment and pastoral hours:** this field includes all other planned, timetabled hours included in the study programme that are not included in the Planned learning hours field. The hours for non-regulated learning aims including work experience/placement aims (**‘Learning Aim Class Codes’ document located in Section 14 Related Links to Documents and Information section**) are recorded in this field.
715. These fields must be finalised and confirmed as correct within the funding qualifying period as defined in the **Funding regulations, section ‘What hours will count towards a student’s programme?’**
716. By the end of the qualifying period it is important to ensure that the planned hours reflect, as accurately as possible, the timetabled activity the student is planning to



undertake for the duration of the academic year. However, if the planned hours for the study programme change within the first 6 weeks, then you must update the planned hours to reflect the actual period of attendance.

717. It is the total of these hours fields that are counted for funding.
718. The hours recorded should be the total the learner is planning to do in the academic year even if this exceeds the number of hours that will be funded, as this could inform future policy.

### 8.1.1 Changes to planned hours

719. Ordinarily this data should not be updated during the year. However, if a learner progresses to subsequent learning in the same teaching year, after completing all the activities on their original learning agreement or plan, the 'Funding rates and formula guidance' (section 'Changes to planned hours') sets out exceptional circumstances in which you may change the planned hours to reflect this additional learning.
720. If the learner progresses from a traineeship to an apprenticeship during the year, then the planned hours for the 16-19 funded study programme must continue to be returned. Learning hours undertaken within the apprenticeship are not recorded.

### Learner withdrawals and transfers within the funding qualifying period

721. Funding guidance sets out how to amend the planned hours if a learner withdraws or transfers within the first six weeks of the programme. Advice in the Funding Regulations, paragraph 72 describes how planned hours must be amended for any student who withdraws, transfers or completes a study programme within the first six weeks of attendance in the funding year. If a student's actual attendance exceeds six weeks in the funding year then we would not usually expect the planned hours to be amended. Annex C of the Funding regulations, contains some questions and answers to assist institutions in correctly recording planned hours in a variety of situations.

### Learner withdrawals and transfers after the funding qualifying period

722. No changes should be made to the planned hours fields if the learner withdraws or transfers from any or all of their learning aims after the funding qualifying period for the learner has passed.

#### *Example*

*A learner starts a study programme on 1 September 2018 with a planned end date of 31 July 2020, a second aim is planned to start on 5 January 2019. The Planned learning hours and Planned employability, enrichment and pastoral hours fields are completed at the start of the teaching year with the total hours for all planned aims up to and including 31 July 2019.*

*In December 2018, the learner decides to withdraw from the second learning aim before it begins. The Planned learning hours and Planned employability, enrichment and pastoral hours fields **are not** updated to reflect this because the funding qualifying period for the learner has passed.*

## 8.2 GCSE qualification grades

723. The fields 'GCSE maths qualification grade' and 'GCSE English qualification grade' collect the highest examination grade awarded to the learner for a GCSE maths or English qualification as at the funding qualifying start period.
724. The only exception to this is for full-time learners who have both:
- Grade D or 3 in English Literature, AND
  - Grade E or 2 or lower in English Language
725. In this exceptional circumstance, the English Language grade should be recorded in the GCSE English qualification grade field. These learners are not subject to the grade D or 3 requirement for condition of funding and may enrol on a stepping stone to meet the condition of funding. Refer to the maths and English condition of funding guidance for further information.

## 8.3 GCSE maths and English condition of funding

726. If a learner has met or is exempt from the GCSE maths or GCSE English condition of funding, you must record this in the Learner FAM fields using type GCSE maths condition of funding (MCF) and/or GCSE English condition of funding (ECF) as applicable.
727. Refer to the information on the condition of funding on GOV.UK for further details.
728. Information about overseas qualifications can be found from [UK NARIC](#).

## 8.4 Recording a core aim

729. Every 16-19 funded study programme must contain a 'Core aim'. This must be recorded in the Aim type field using code 5. The core aim is the substantive learning aim being undertaken in a study programme. See the 'Funding rates and formula guidance' for more information on determining core aims.
730. For academic study programmes, if the learner's qualifications are of the same size, for example 3 A levels, you must assign one of these qualification as the core aim.
731. Should a learner withdraw from the core aim, the core aim should only be reassigned where the new core aim is clearly demonstrable to be a substantive and core component of the learner's study programme. If an alternative aim that meets these criteria cannot be identified, then the withdrawn aim should remain as the core aim.
732. For academic study programmes where all aims within the programme are of equal size, there is no requirement to select another core aim should a learner withdraw from the original core aim. Please refer to the funding guidance for young people for a definition of academic and vocational programmes.
733. It is expected that you will be able to identify the substantive learning aim for the learner at the start of their study programme. In exceptional circumstances when the core aim is unknown by the end of the funding qualifying period, then another

aim should be designated as core until the substantive learning aim is decided upon and recorded. The Aim type should then be re-assigned. The core aim must be finalised by the end of the teaching year.

734. **For all non-traineeship study programmes that continue across more than one teaching year:** if the core aim is completed in year one then this aim should not be returned in year two. A new core aim must be identified in year two.
735. **For traineeships programmes that continue across more than one teaching year:** if the core aim is completed in year one then this aim should continue to be returned in year two. A new core aim does not need to be identified in year two. All learning aims that are part of the traineeship programme must continue to be returned in year two, including the programme aim and any other aims that were completed in year one.

## 8.5 Recording High Needs Students

736. The Learner FAM code for High needs students (HNS1) should be completed for 16-19 funded and Other 16-19 funded students only where a local authority has paid element 3 'top-up' funding for a student whose agreed learning support costs are greater than £6,000. It must not be used in any other circumstances, for example, where costs are less than or equal to £6,000 or where the local authority has made no in-year contribution to the costs even if they are judged/agreed to be greater than £6,000.
737. Code HNS1 should also be completed for students whose agreed learning support costs are greater than £6,000 and who are fully funded by the local authority in the current year. Learning aims for these students are recorded using funding model code 99 'Non-funded (No ESFA funding for this learning aim)'.
738. All 16-19 funded and Other 16-19 funded learners aged 19 to 24 who are recorded as being high needs students in the ILR must also have an Education Health Care (EHC) plan recorded in the Learner FAM fields.
739. For learners who receive element 3 support funding of more than £19,000, the Learning support cost field must be returned. The total support costs for the student should be recorded in this field (element 2 + element 3).
740. Supported Internships must be recorded with the Learning aim reference code 'Z0002347'. You can find information for the correct recording of Supported Internships in ('Learning Aim Class Codes' document (located in Section 14 Related Links to Documents and Information section)).

### 8.5.1 Additional guidance for special post-16 institutions

741. The ILR fields to be completed by special post-16 institutions (SPIs) during the current year can be found in table 11. Where the student is undertaking a traineeship programme, refer to the table 17.
742. The Learning support cost field must be completed for all high need students. This field should contain the total learning support cost (element 2 + element 3) for the student for the year. This will ensure consistency of data reporting with FE

institutions.

743. See the table below for additional notes about recording Learner FAM:

Learner FAM	Notes
High needs students	Use code HNS1 for all high need students (16-19 funded only)
Education Health Care Plan	Use EHC1 if the student has an EHC plan
Learner support reason	Required if the student has received support from the 16 to 19 Bursary Fund or residential support. If not applicable, leave blank
Eligibility for 16-19 (excluding apprenticeships) disadvantage funding	Use code EDF1 for students who have not achieved a maths GCSE (at grade A*-C or 9-4) by the end of year 11 and/or EDF2 for students who have not achieved an English GCSE (at grade A*-C or 9-4) by the end of year 11
GCSE maths condition of funding	Use where a student is exempt from or has met the GCSE maths condition of funding
GCSE English condition of funding	Use where a student is exempt from or has met the GCSE English condition of funding
Free meals eligibility	Use code FME2 where a 16 to 19 year old student is eligible for and in receipt of free meals

744. For 16-19 funded students, at least one aim must have Aim type code 5 (core aim) and all other aims must have Aim type code 4 unless the student is studying a traineeship.

745. All 16-19 funded high needs students use Funding model code 25. Students who are fully funded by the local authority or are social care funded are not included on the ILR.

746. The Source of funding for all 16-19 funded high needs students must be code SOF107, unless the student is over the age of 25.

## 8.6 Recording work experience

747. 16-19 study programmes include a work experience element which must be recorded on the ILR.

748. To record the work experience element, use the following learning aim reference:

Learning aim reference	Learning aim title
ZWRKX001	Work experience/placement

749. To record the work experience element of a Supported internship, use the following learning aim reference:

Learning aim reference	Learning aim title

## 8.7 Recording Industry placements

750. In 2018 to 2019, a new learning aim reference has been created to record Industry placements, this aim applies only to institutions receiving Capacity and Delivery Fund:

Learning aim reference	Learning aim title
ZWRKX002	Industry placement

Industry placements must be:

- with an external employer
- recorded as a single, continuous, placement (at the same employer)
- be at least 45 days duration and a minimum of 315 hours
- must be occupationally specific to the course the student is undertaking
- can only be recorded under Funding model 25

## 8.8 Work Placement entity

751. In addition to recording the work experience and the industry placement learning aim, you must record details of each work placement that is undertaken using the Work Placement entity.
752. The work experience learning aim is not bound to an amount of hours. You must record the hours planned for each individual work placement on the work placement entity in the field: 'Work placement hours'.
753. The Work placement hours field is mandatory for each work placement record and must reflect the total hours planned for the individual work placement.
754. You must record the work placement hours planned for both internal and external work placements. For Industry placements, you must record the work industry placement hours planned for the external work placement.
755. All industry placements must be with an external employer and the employer identifier must be recorded.
756. Where the work experience aim is a learner's core aim, it is expected that the work experience will always be with an external employer.
757. If more than one work placement takes places within the teaching year and as part of the same programme of study, then the Learning start and planned end dates for the work experience aim must cover the duration of all work placement periods for the teaching year.
758. If the learner has a core aim of work experience and they leave the study programme early to progress to a positive destination as detailed in the ESFA

funding regulations for post-16 provision, then the learner should record the work experience aim as completed to be classed as retained for funding purposes.

### **8.8.1 Work experience and planned hours**

- 759. The total of all work placement hours for the current year (both internal and external) must be included in the Planned employability, enrichment and pastoral hours field. This is used for funding.
- 760. Where work experience is an essential and integrated part of a student's vocational qualification, such as a BTE, then a work experience learning aim is not recorded. The hours for the whole qualification including the work experience element are recorded in the Planned learning hours field.

### **8.8.2 Recording work experience that crosses multiple teaching years**

- 761. If a work experience placement takes place across the teaching year boundary of 31 July/1 August, then you must record a Learning planned end date of 31 July for the learning aim to be recorded in the current year's ILR.
- 762. The hours recorded for the individual work placement(s) on this aim should only include the hours up to and including 31 July.
- 763. A new work experience aim with a Learning start date of 1 August 2019 will need to be recorded in the 2019 to 2020 ILR and a new work placement record added. The new work placement record must include the planned hours remaining for the work placement from 1 August 2019 onwards.
- 764. This guidance applies to 16-19 study programmes including 16-19 traineeships. It does not apply to 19-24 traineeships.

## **8.9 Early leavers and transfers**

- 765. For learners who withdraw from a 16-19 funded study programme in order to take up a traineeship, Supported Internship, or apprenticeship programme, their Destination and Progression data will be used to exclude the learner from DfE's completion and attainment measure.

## Section 9 Completing the ILR: ESF funded learning aims

### 9.1 Recording ESF data in the ILR

766. For full details of the funding rules and requirements for the 2014 to 2020 ESF Programme, refer to the 2014 to 2020 ESF Programme funding rules and ESF funding rates and formula.
767. The data collection requirements for ESF funded learning are described in *section 13.3 ESF funded learning*. The guidance below provides additional information to support data returns for the 2014 to 2020 ESF Programme.
768. For the ESF 2014 to 2020 Programme, all records for all learners who have received ESF funding as part of the current programme must continue to be returned **for the duration of the ESF programme up until collection R14 following the contract end**. This includes all Learner, Learning Delivery, and Destination and Progression records for learners who completed their learning aims in a previous teaching year. This is particularly important for the ZESF0001 aim, which must always be included in the learner's record. Failure to return all aims for the learner (including closed aims) may result in a loss of funding that has already been claimed.
769. The Contract reference number in the Learning Delivery entity is used to identify all aims that belong to the same ESF contract. This field must be completed for all ESF funded provision. This number may also be referred to as the contract allocation number and will begin with 'ESF-'.

#### Learner data

770. ESF funded learners may be contacted as part of a sample survey to inform the effectiveness of the Programme. The contact preferences expressed for these learners will not apply in this circumstance. A telephone number should be supplied for all ESF funded learners to enable them to be contacted.

#### Learning delivery data

771. Every ESF funded learner must have a ZESF0001 aim recorded. This aim is used to indicate a learner start and assessment, and must continue to be returned for the duration of the ESF 2014 to 2020 Programme.
772. The appropriate learning aim reference from the LARS database must be recorded for each learning aim undertaken. The Learning Aims search function on the Hub allows you to search for regulated and non-regulated learning aims that are available for ESF activity. The learning aims must be valid under the ESF category in the LARS database in order to be recorded as ESF funded learning (Funding model 70) in the ILR. See below for further details about recording non-regulated activity for ESF funded learning.
773. For ESOL learning aims, any required additional delivery hours should be recorded in the Additional delivery hours field.

#### Recording non-regulated learning activity

774. Non-regulated activity should be recorded using the class codes in the **'Learning**

**Aim Class Codes' document (located in Section 14 Related Links to Documents and Information section).**

775. Non-regulated learning in a single sector subject area at a known level should be recorded using a class code from Category A. If the learning is across several sector subject areas, then one of the codes for mixed sector subject areas from Category L should be used.
776. If the learning activity in sector subject area 14.1 (Foundations for Learning and Life) or 14.2 (Preparation for Work) has no defined indicative level, it should be recorded using a Category L class code. Otherwise, a code from Category A should be used.
777. Non-regulated English, maths or ESOL provision should be recorded using codes from Category B.
778. Work experience or work placement should be recorded using one of the codes from Category I.

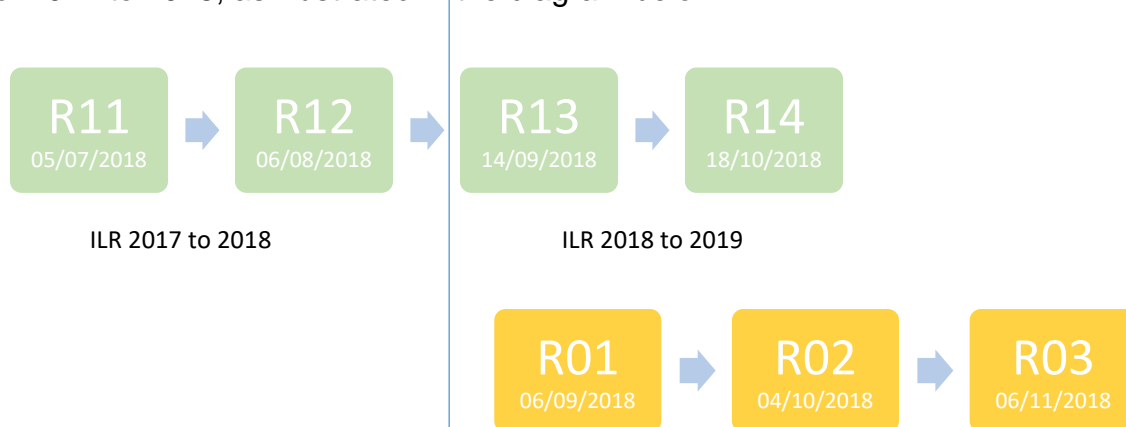
### **Learner destination data and progression payments**

779. You must record Destination and Progression data for all ESF funded learners and learners used as match for ESF. For learners used as match, the actual destination of the learner, where it is known, should be collected at the point the learner leaves learning. It is important that this data is reported accurately and completely.
780. Destination and Progression data is used to fund programme deliverables. Some ESF contracts will include progression funding, the criteria for this funding will depend on the contract.
781. The following ILR fields will be used to check if progression funding should be released:
- Contract reference number
  - Learning aim reference
  - Learning actual end date
  - Outcome type
  - Outcome code
  - Outcome start date
  - Outcome end date (if known: where the end date is not known, the Outcome collection date is used)
782. Refer to the ESF funding rules and ESF funding rates and formula documents for further details about ESF Progressions and funding methodologies.



### 9.1.1 Returning ESF data and destination data

783. The ILR R01 and R02 returns of 2018 to 2019 must contain all current and prior ESF records (including both open and closed aims) including all Destination and Progression records. This data must then be returned in the R13 and R14 returns of 2017 to 2018, as illustrated in the diagram below.



784. A Destination and Progression record must be returned for all closed ESF programmes within two months of the latest Learning actual end date.
785. When recording follow up Destination and Progression records, if the destination is the same (i.e. the learner is still in the same employment), the record's collection date must be updated. Otherwise, a new destination record must be returned.
786. ESF funded learners who leave the programme (all aims are closed) with a latest Learning actual end date prior to 1 August 2018 must have a Destination and Progression record returned in the previous year's ILR prior to the close of R14.

### 9.2 ESF validation and eligibility checks

787. Learning activity delivered against an ESF contract will be checked against the eligibility criteria in the contract specification. The eligibility criteria will be applied based on the Learning start date of the completed ZESF0001 aim for that Contract reference number. You must maintain evidence as in the ESF funding rules and evidence of the eligibility checks carried out.

### 9.3 Supplementary data collection

788. Additional data required for the ESF Programme that is not collected through the ILR should be returned through the Supplementary Data collection.
789. Providers will need to create a supplementary data file (in csv format) and upload this to the Hub.
790. Additional information about the requirements for the supplementary data collection is published on GOV.UK via the ESFA: supplementary data collection page.

## **9.4 Amending submitted data**

791. Data must be correct at the time of claiming. The ESF Managing Authority have issued guidance stating that any changes must be made within the next quarter. Changes outside of this may lead to the recovery of funding.

## **9.5 Match funding**

792. As an ESF Opt-in Organisation, the ESFA must match ESF funds contracted with money from the UK Government (that is, eligible mainstream programme funds).
793. The ESFA is required to report this match funding and the associated learners within funding claims made to the ESF Managing Authority in England. When funds are identified as match funding, the learning activity and its associated funding become part of the ESF Programme and so must meet the same requirements as directly funded ESF activity.
794. Learning aims funded through the Adult skills funding model (including apprenticeship frameworks) and non levy funded apprenticeships starting on or after 1 August 2018 may be used as match funding for the ESF Programme. Providers should expect learning aims to be used as match funding and keep data accordingly. The ESFA will write to all providers confirming if they are being used as ESF match funding.
795. It is important that you return complete and meaningful data: values such as 'not known' or 'prefer not to say' should only be used in exceptional circumstances. This is particularly important for the following fields:
- Prior attainment [Learner entity]
  - Employment status [Learner Employment Status entity]
  - Household situation [Learning Delivery Funding and Monitoring entity]
  - Outcome type and code [Destination and Progression entity]

## Section 10 Completing the ILR: Recording A and AS levels

### 10.1 Recording AS and A level learning aims

796. You must accurately record the learning aim that a learner is working towards: either an AS or A level learning aim. If a new linear A level has not yet been introduced, then the learner must be recorded on the existing AS level or A level learning aim that is applicable.
797. Where a learner takes an AS qualification and continues with further study to take the A level qualification in the same subject, then both the AS learning aim and A level learning aim must be recorded.

#### 10.1.1 Funding implications

798. **Adults skills funded** A levels: if a learner undertakes both an AS and an A level in the same subject, then you will need to record a funding adjustment on the ILR for the A level to take into account the prior learning completed for the AS learning aim.
799. **16-19 funded** A levels: no funding adjustment is required because these are funded through the ESFA's 16-19 per student funding methodology which uses planned hours for the year to determine funding levels.
800. **Advanced Learner Loan financed** AS and A levels: learners may apply for an Advanced Learner Loan for both AS and A levels to enable them to undertake up to 4 A levels funded with a Loan. Where a learner applies for a loan for an A level after sitting the AS in the same subject, you must reduce the fee for the A level to take into account the prior learning completed for the AS learning aim.

### 10.2 Recording transfers and withdrawals

801. Where a learner changes the AS or A level learning aim that they are working towards, or withdraws from the learning aim.
802. Below is a series of examples that illustrate how various transfer and withdrawal scenarios should be recorded. In these examples, it is assumed that an AS qualification is studied over one year and an A level over 2 years.

## Examples

803. The following examples illustrate how some different scenarios should be recorded, and assume that an AS qualification is studied over one year and an A level over 2 years:

- **Example A:** Learner starts intending to do only an AS level. They complete the AS level as planned and do no further study in this subject in year 2

Year 1	Year 2	Notes
AS Level Subject 1		

- **Example B:** Learner starts intending to do only an AS level. Following the AS results, they decide to take the A level in year 2

Year 1	Year 2	Notes
AS Level Subject 1	A Level Subject 1	

804. The learner initially intends to do an AS level qualification, this learning aim is recorded on the ILR. After completing the AS aim, the learner decides to take the A level qualification in the same subject, an A level learning aim is recorded on the ILR.

805. For Adult skills funded learners, Funding adjustment for prior learning is required for this aim to take into account the previous learning completed for the AS learning aim.

- **Example C:** Learner starts intending to do only an A level, and does not enter for the AS level. They complete the A level as planned

Year 1	Year 2	Notes
A Level Subject 1		

- **Example D:** Learner starts intending to do both an AS level and an A level. They complete both learning aims as planned.

Year 1	Year 2	Notes
AS Level Subject 1	A Level Subject 1	

806. The learner initially intends to do both an AS and A level qualification. An AS learning aim is recorded on the ILR. After completing the AS aim, an A level learning aim in the same subject is recorded.

807. For Adult skills funded learner, Funding adjustment for prior learning is required for the A level aim to take into account the previous learning completed for the AS learning aim.

- **Example E:** Learner starts intending to do only an A level, but during year 1 decides to enter for the AS level as well

Year 1		Year 2	Notes
A Level Subject 1		A Level Subject 1	The A level learning aim is closed and transferred to an AS level
	AS Level Subject 1		

808. The learner initially intends to do an A level qualification; an A level learning aim is recorded on the ILR. During the academic year, the learner decides to also enter for the AS level; the A level learning aim is closed with Completion status code 3 (Learner has withdrawn) and Withdrawal reason code 40 (Learner has transferred to a new learning aim with the same provider).
809. The AS learning aim is recorded with a new learning start date. For Adult skills funded learner, Funding adjustment for prior learning must be recorded to take account the previous learning completed for the A level learning aim.
810. Once the AS aim has been completed, an A level learning aim in the same subject is recorded. For Adult skills funded learners, Funding adjustment for prior learning is required for the new A level aim to take into account the previous learning completed for the AS learning aim.
- **Example F:** Learner starts intending to do only an A level, but during year 1 decides to transfer to the AS level. They do not go onto take an A level in this subject

Year 1		Year 2	Notes
A Level Subject 1			The A level learning aim is closed and transferred to an AS level
	AS Level Subject 1	Study for the AS level may continue into year 2 for some students	

811. The learner initially intends to do an A level qualification; an A level learning aim is recorded on the ILR. During the academic year, the learner decides to transfer to the AS level; the A level learning aim is closed with Completion status code 3 (Learner has withdrawn) and Withdrawal reason code 40 (Learner has transferred to a new learning aim with the same provider).
812. The AS learning aim is recorded with a new learning start date. For Adult skills funded learners, Funding adjustment for prior learning must be recorded to take into account the previous learning completed for the A level learning aim.

- **Example G:** Learner starts intending to do only an AS level, and during year 1 decides to transfer to an A level and does not sit the AS level

Year 1		Year 2	Notes
AS Level Subject 1			The AS level learning aim is closed and transferred to an A level
	A Level Subject 1		

813. The learner initially intends to do an AS level qualification; an AS learning aim is recorded on the ILR. During the academic year, the learner decides to transfer to the A level; the AS level learning aim is closed with Completion status code 3 (Learner has withdrawn) and Withdrawal reason code 40 (Learner has transferred to a new learning aim with the same provider).

814. The A level learning aim is recorded with a new learning start date. For Adult skills funded learners, Funding adjustment for prior learning must be recorded to take into account the previous learning completed for the AS level learning aim.

- **Example H:** Learner starts intending to do only an A level, and withdraws completely from this subject during year 1

Year 1		Year 2	Notes
A Level Subject 1			The A level learning aim is recorded as withdrawn

815. The learner initially intends to do an A level; an A level learning aim is recorded on the ILR. During the academic year, the learner decides to withdraw from the A level; the A level learning aim is closed with Completion status code 3 (Learner has withdrawn) and the relevant Withdrawal reason code.

## Section 11 Completing the ILR: Recording Household situation

816. This Learning Delivery FAM field should be used to record the household situation that applies at the start of each learning aim. This does not need to be updated if the household situation subsequently changes.
817. The household situation must be collected for:
- All ESF funded learning aims that started on or after 1 August 2015, and
  - All Adult skills funded and Other adult funded (Funding model 35 or 81) learning aims that started on or after 1 August 2015, for match funding purposes.
818. For Adult skills funded traineeship and apprenticeship programmes (Funding model 35), the learner's household situation at the start of the programme should be recorded on the programme aim (AimType = 1). The household situation field does not need to be collected at the start of each individual component aim.
819. The household situation field is not required for apprenticeship standards funded through the Other adult funding model (Funding model 81).
820. The household situation field is required for non-levy funded apprenticeships that start on or after 1 August 2018 and is collected at the point of enrolment (Funding model 36, ACT 2).
821. Data about a learner's household situation must be collected in the form of a self-declaration from the learner and should be signed by the learner to confirm that it is correct. An example self-declaration is below, this can be included in your enrolment form or similar document and can be captured electronically.

### Example learner self-declaration

Please tick which of the following statements apply (one or more may apply):

1. No member of the household in which I live (including myself) is employed
2. The household that I live in includes only one adult (aged 18 or over)
3. There are one or more dependent children (aged 0-17 years or 18-24 years if full-time student or inactive) in the household
4. None of these statements apply

OR

5. I confirm that I wish to withhold this information

Learner signature.....

Date.....

822. If you use the example self-declaration questions above to collect the learner household situation data, the table below gives details of which Household situation (HHS) FAM code to record based on the learner's responses.

Response selected	HHS code
Option 1 only	HHS2
Option 2 only	HHS99
Option 3 only	HHS99
Option 4 only	HHS99
Option 5 only	HHS98
Options 1 and 2	HHS2
Options 1 and 3	HHS1
Options 2 and 3	HHS3
Options 1,2 and 3	HHS1 and HHS3

823. You must return complete data about the household situation. The use of code HHS98 is being monitored and must only be recorded where a learner has withheld the information on their signed declaration.

824. Additional guidance is below, further detailed information can be found in the following ESF guidance documents:

- [Annex D – Practical guidance on data collection and validation](#), paragraph 5.6.1 on page 52, and
- [Programming Period 2014-2020, Monitoring and Evaluation of European Cohesion Policy, European Social Fund Guidance](#).

### 11.1 When to use the Household situation codes

825. Use code HHS1 when:

- No household member is in employment, i.e. all members are either unemployed or inactive and;
- The household includes one or more dependent children, i.e. those aged 0-17 years or 18-24 years if inactive and living with at least one parent. The latter category of older dependent children excludes people who are unemployed (because they are economically active) but includes full-time students.

826. Use code HHS2 when:

- No household member is in employment, i.e. all members are either unemployed or inactive and;
- The household does not include any dependent children.

827. Use code HHS3 when:

- The household includes only one adult (individual aged 18 or above), irrespective of their employment status and;



- The household includes one or more dependent children, i.e. those aged 0-17 years or 18-24 years if inactive and living with at least one parent. The latter category of older dependent children excludes people who are unemployed (because they are economically active) but includes full-time students.

## **11.2 Definitions used for Household data**

### **11.2.1 What is a household?**

828. A household is defined as a housekeeping unit or, operationally, as a social unit:
- Having common arrangements;
  - Sharing household expenses or daily needs;
  - In a shared common residence.
829. A household includes either one person living alone or a group of people, not necessarily related, living at the same address with common housekeeping, i.e. sharing at least one meal per day or sharing a living or sitting room.

### **11.2.2 Who are to be considered as household members?**

830. The following persons are regarded as household members:
- Persons usually resident, related to other members;
  - Persons usually resident, not related to other members;
  - Resident boarders, lodgers, tenants (for at least six months or without private address elsewhere);
  - Visitors (for at least six months or without private address elsewhere);
  - Live-in domestic servants, au-pairs (for at least six months or without private address elsewhere);
  - Persons usually resident, but temporarily (for less than six months) absent from the dwelling (and without private address elsewhere);
  - Children of the household being educated away from home;
  - Persons absent for long periods, but having household ties;
  - Persons temporarily absent (for less than six months) but having household ties.

### **11.2.3 Exclusions**

831. An exclusion applies where learners are part of collective households or institutional households (e.g. hospitals, old peoples' homes, residential homes, prisons, military barracks, religious institutions, boarding houses, workers' hostels, etc.).
832. Where the learner's household is excluded, as above, the Household situation should be recorded using code HHS99 'None of HHS1, HHS2 or HHS3 applies'.

## Section 12 Further information

833. There is a reference page at the back of this document with all the related hyperlinks to the documents and webpages that are referred to throughout this document. Each item contains a hyperlink to the relevant webpage or document.

### 12.1 Support available

834. There are several sources of support available to you including the ESFA service desk and the feconnect forum: see below for details.

#### 12.1.1 Service desk

835. You can contact the service desk at:

- Email: [SDE.servicedesk@education.gov.uk](mailto:SDE.servicedesk@education.gov.uk)
- Telephone: 0370 2670001

836. The team can support you with a range of queries, including queries about:

- The FIS and the ILR Learner Entry tool
- Data collection processes and reports, including the Provider Funding Report (PFR)
- Achievement rates and minimum standards/minimum levels of performance reports
- National and official FE statistics, including the Statistical First Release (SFR) on post-16 education
- Access to the Hub, including permissions, super users and passwords
- Services on the Hub including data collections and searching for learning aims
- ILR data
- Fundability and validity of qualifications for post-16 education and training

837. The service desk is open:

Day	Opening times
Monday to Thursday	08:30 to 17:00
Friday	08:30 to 16:00
Christmas Eve	08:30 to 13:00

838. Please note the service desk is open until 18:00 on ILR return days.

#### 12.1.2 Feconnect

839. [Feconnect](#) is the ESFA's online network for those working with data in the Further Education and skills sector. It is a forum for you to talk to colleagues about funding or data issues and help each other resolve queries.

840. By registering as a feconnect member, you will be able to post questions or comments.

841. If you have any queries about feconnect, please email: [feconnect@sfa.bis.gov.uk](mailto:feconnect@sfa.bis.gov.uk)

## Section 13 Field collection requirements tables

842. The tables in this section list the fields that are collected for the different funding models. Not all fields listed will need to be completed for all learners in all circumstances. Please refer to the ILR specification for the full details of the collection rules and requirements.
843. In addition to the Learner and Learning Delivery fields listed for each funding model, HE data may be required.
844. Some of the fields listed in the tables below are only required in certain circumstances.

### 13.1 16-19 funded learning (excluding apprenticeships)

**Table 11: 16-19 funded learning**

Learner	Apprenticeships) disadvantage funding GCSE maths condition of funding GCSE English condition of funding Free meals eligibility Pupil premium funding eligibility
Learner reference number	
Learner reference number in previous year	
UKPRN in previous year	
Pre-merger UKPRN	
Campus Identifier	Learner Employment Status
Unique learner number	Employment status
Family name	Date employment status applies
Given names	Employment Status Monitoring
Date of birth	Employment intensity indicator
Ethnicity	Learning Delivery
Sex	Learning aim reference
LLDD and health problem	Aim type
Accommodation	Aim sequence number
Learning support cost	Learning start date
Planned learning hours	Learning planned end date
Planned employability, enrichment and pastoral hours	Funding model
GCSE maths qualification grade	Subcontracted or partnership UKPRN
GCSE English qualification grade	Delivery location postcode
Postcode prior to enrolment	Completion status
Postcode	Learning actual end date
Address line 1-4	Withdrawal reason
Telephone number	Outcome
Email address	Outcome grade
Learner Contact Preference	Learning Delivery FAM
Restricted use indicator	Source of funding
Preferred method of contact	Restart indicator
LLDD and Health Problem	Learning delivery monitoring
LLDD and health problem category	HE monitoring
Primary LLDD and health problem	Learning Delivery Work Placement
Learner FAM	Work placement start date
High needs students	Work placement end date
Education Health Care plan	Work placement hours
Learner support reason	Work placement mode
Special educational needs	Work placement employer identifier
National learner monitoring	
Eligibility for 16-19 (excluding	

## 13.2 Adult skills funded learning

845. This table does not include the fields that are only required for Adult skills funded apprenticeship or traineeship programmes.

**Table 12: Adult skills funded learning**

<b>Learner</b>	
Learner reference number	
Learner reference number in previous year	
UKPRN in previous year	
Pre-merger UKPRN	
<b>Campus Identifier</b>	
Unique learner number	
Family name	
Given names	
Date of birth	
Ethnicity	
Sex	
LLDD and health problem	
National Insurance number	
Prior attainment	
Planned learning hours	
Postcode prior to enrolment	
Postcode	
Address line 1-4	
Telephone number	
Email address	
<b>Learner Contact Preference</b>	
Restricted use indicator	
Preferred method of contact	
<b>LLDD and Health Problem</b>	
LLDD and health problem category	
Primary LLDD and health problem	
<b>Learner FAM</b>	
Education Health Care Plan	
Learner support reason	
National learner monitoring	
<b>Learner Employment Status</b>	
Employment status	
Date employment status applies	
Employer identifier	
<b>Employment Status Monitoring</b>	
Self-employment indicator	
Employment intensity indicator	
Length of unemployment	
Benefit status indicator	
Previous education indicator	
<b>Learning Delivery</b>	
Learning aim reference	
Aim type	
Aim sequence number	
Learning start date	
Original learning start date	
Learning planned end date	
Funding model	
Subcontracted or partnership UKPRN	
Delivery location postcode	
Additional delivery hours	
Funding adjustment for prior learning	
Other funding adjustment	
Employment outcome	
Completion status	
Learning actual end date	
Withdrawal reason	
Outcome	
Outcome grade	
<b>Learning Delivery FAM</b>	
Source of funding	
Full or co-funding indicator	
Restart indicator	
Learning support funding	
Family English, Maths and Language*	
Learning delivery monitoring	
National Skills Academy indicator	
Work programme participation	
Percentage of online delivery	
HE monitoring	
Household situation	
Date applies from	
Date applies to	

\*Only collected for Family English, Maths and Language learning aims delivered through the Adult skills funding model.

## 13.3 ESF funded learning

Table 13: ESF funded learning

<b>Learner</b>	<b>Learner Employment Status</b>
Learner reference number	Employment status
Pre-merger UKPRN	Date employment status applies
<b>Campus Identifier</b>	Employer identifier
Unique learner number	<b>Employment Status Monitoring</b>
Family name	Self-employment indicator
Given names	Employment intensity indicator
Date of birth	Length of unemployment
Ethnicity	Benefit status indicator
Sex	Previous education indicator
LLDD and health problem	<b>Learning Delivery</b>
Prior attainment	Learning aim reference
Postcode prior to enrolment	Aim type
Postcode	Aim sequence number
Address line 1-4	Learning start date
Telephone number	Learning planned end date
Email address	Funding model
<b>Learner Contact Preference</b>	Subcontracted or partnership UKPRN
Restricted use indicator	Delivery location postcode
Preferred method of contact	Additional delivery hours
<b>LLDD and Health Problem</b>	Contract reference number
LLDD and health problem category	Completion status
Primary LLDD and health problem	Learning actual end date
<b>Learner FAM</b>	Withdrawal reason
Education Health Care Plan	Outcome
Learner support reason (16-18 learners only)	Outcome grade
National learner monitoring	<b>Learning Delivery FAM</b>
Free meals eligibility (16-18 learners only)	Source of funding
	Restart indicator
	Learning delivery monitoring
	Household situation

## 13.4 Community Learning funded learning

**Table 14: Community Learning funded learning**

<b>Learner</b>	<b>Learner FAM</b>
Learner reference number	Education Health Care Plan
Pre-merger UKPRN	National learner monitoring
<b>Campus Identifier</b>	<b>Learning Delivery</b>
Unique learner number	Learning aim reference
Family name	Aim type
Given names	Aim sequence number
Date of birth	Learning start date
Ethnicity	Learning planned end date
Sex	Funding model
LLDD and health problem	Subcontracted or partnership UKPRN
Planned learning hours	Delivery location postcode
Postcode prior to enrolment	Completion status
Postcode	Learning actual end date
Address line 1-4	Withdrawal reason
Telephone number	Outcome
Email address	Outcome grade
<b>Learner Contact Preference</b>	<b>Learning Delivery FAM</b>
Restricted use indicator	Source of funding
Preferred method of contact	Restart indicator
<b>LLDD and Health Problem</b>	Community Learning provision type
LLDD and health problem category	Learning delivery monitoring
Primary LLDD and health problem	

## 13.5 Advanced Learner Loans funded learning

**Table 15: Advanced Learner Loans**

<b>Learner</b>	<b>Learner Employment Status</b>
Learner reference number	Employment status
Learner reference number in previous year	Date employment status applies
UKPRN in previous year	<b>Employment Status Monitoring</b>
Pre-merger UKPRN	Self-employment indicator
<b>Campus Identifier</b>	Employment intensity indicator
Unique learner number	Length of unemployment
Family name	Benefit status indicator
Given names	Previous education indicator
Date of birth	<b>Learning Delivery</b>
Ethnicity	Learning aim reference
Sex	Aim type
LLDD and health problem	Aim sequence number
National Insurance number	Learning start date
Prior attainment	Original learning start date
Planned learning hours	Learning planned end date
Postcode prior to enrolment	Funding model
Postcode	Subcontracted or partnership UKPRN
Address line 1-4	Delivery location postcode
Telephone number	Funding adjustment for prior learning
Email address	Other funding adjustment
<b>Learner Contact Preference</b>	Completion status
Restricted use indicator	Learning actual end date
Preferred method of contact	Withdrawal reason
<b>LLDD and Health Problem</b>	Outcome
LLDD and health problem category	Outcome grade
Primary LLDD and health problem	<b>Learning Delivery FAM</b>
<b>Learner FAM</b>	Restart indicator
Education Health Care Plan	Advanced Learner Loans indicator
Disabled students allowance (HE only)	Advanced Learner Loans Bursary funding
Learner support reason	Learning delivery monitoring
National learner monitoring	HE monitoring
	Date applies from
	Date applies to

## 13.6 Non-funded learning

846. This table does not include fields that are only required for apprenticeship programmes.
847. For Non-funded learning aims with a Source of funding of SOF108 (Community Learning) in the Learning Delivery FAM fields, refer to the Community Learning data requirements in *Table 14*

**Table 16: Non-funded learning**

<b>Learner</b>	<b>Learner Employment Status</b>
Learner reference number	Employment status
Learner reference number in previous year	Date employment status applies
UKPRN in previous year	<b>Employment Status Monitoring</b>
Pre-merger UKPRN	Self-employment indicator
<b>Campus Identifier</b>	Employment intensity indicator
Unique learner number	Length of unemployment
Family name	Benefit status indicator
Given names	Previous education indicator
Date of birth	<b>Learning Delivery</b>
Ethnicity	Learning aim reference
Sex	Aim type
LLDD and health problem	Aim sequence number
National Insurance number	Learning start date
Prior attainment	Learning planned end date
Planned learning hours	Funding model
Postcode prior to enrolment	Subcontracted or partnership UKPRN
Postcode	Delivery location postcode
Address line 1-4	Completion status
Telephone number	Learning actual end date
Email address	Withdrawal reason
<b>Learner Contact Preference</b>	Outcome
Restricted use indicator	Outcome grade
Preferred method of contact	<b>Learning Delivery FAM</b>
<b>LLDD and Health Problem</b>	Source of funding
LLDD and health problem category	Restart indicator
Primary LLDD and health problem	Community Learning provision type
<b>Learner FAM</b>	Learning delivery monitoring
Education Health Care Plan	National Skills Academy indicator
Disabled students allowance (HE only)	HE monitoring
National learner monitoring	



## 13.7 Traineeship programmes

**Table 17: Traineeship - Learner record**

<b>Learner</b>	<b>LLDD and Health Problem</b>
Learner reference number	LLDD and health problem category
Learner reference number in previous year	Primary LLDD and health problem
UKPRN in previous year	
Pre-merger UKPRN	<b>Learner FAM</b>
<b>Campus Identifier</b>	Education Health Care Plan
Unique learner number	National learner monitoring
Family name	
Given names	<b>Learner Employment Status</b>
Date of birth	Employment status
Ethnicity	Date employment status applies
Sex	
LLDD and health problem	<b>Employment status monitoring</b>
National Insurance number	Self-employment indicator
Prior attainment	Employment intensity indicator
Planned learning hours	Length of unemployment
Postcode prior to enrolment	Benefit status indicator
Postcode	Previous education indicator
Address line 1-4	
Telephone number	<b>Learning Delivery (see Table 18)</b>
Email address	<b>Learning Delivery FAM (see Table 19)</b>
	<b>Work Placement (see Table 20)</b>
<b>Learner Contact Preference</b>	
Restricted use indicator	
Preferred method of contact	

**Table 18: Traineeship - Learning Delivery data**

Field name	Programme aim	Component aim
Learning aim reference	ZPROG001	Valid LARS code
Aim type	Code 1	16-18 yr olds: Work experience = code 5, other aims = code 3 19-24 yr olds: code 3
Aim sequence number	Sequence number of the aim	
Learning start date	Start date of the programme	Start date of the aim
Original learning start date	16-18 yr olds: Not required 19-24 yr olds: Original start date if learner has returned after a break in learning	16-18 yr olds: Not required 19-24 yr olds: Original start date if learner has returned after a break in learning
Learning planned end date	Planned end date of the programme	Planned end date of the aim
Funding model	16-18 yr olds: code 25 19-24 yr olds: code 35	
Programme type	Code 24: Traineeship	
Subcontracted or partnership UKPRN	Not required	UKPRN of subcontracted provider, if applicable
Delivery location postcode	Actual delivery location postcode	
Funding adjustment for prior learning	16-18 yr olds: Not required 19-24 yr olds: Percentage of the programme that is still to be delivered if learner has returned after a break in learning	16-18 yr olds: Not required 19-24 yr olds: Percentage of the aim that is still to be delivered if learner has returned after a break in learning
Other funding adjustment	16-18 yr olds: Not required 19-24 yr olds: Not required unless requested by the ESFA	16-18 yr olds: Not required 19-24 yr olds: Not required unless requested by the ESFA
Employment outcome	16-18 yr olds: Not required 19-24 yr olds: Not applicable. Job outcome payments cannot be claimed against the single programme rate	16-18 yr olds: Not required 19-24 yr olds: Job outcome funding can be claimed for English, maths and flexible element learning aims where a learner has withdrawn from the aim to take up a job within the time period specified in the funding rules

Field name	Programme aim	Component aim
Completion status		Relevant code
Learning actual end date	Actual end date of the programme	Actual end date of the aim. For English and maths aims this may be after the end date of the programme aim
Withdrawal reason	Relevant code if the learner has withdrawn from the programme	Relevant code if the learner has withdrawn from the aim
Outcome	Code 8 when the programme is complete but the outcome is unknown Code 1 if the learner achieves the criteria for positive destination Code 2 if the learner does not achieve the criteria for positive destination	Code 1 if the learner achieves the aim Code 2 if the learner does not achieve the aim
Achievement date	Must be completed for all programme aims with a status of 'Achieved'. The achievement date must be within 6 months of the Learning actual end date	Not required
Outcome grade	Not required	Relevant code from Appendix Q, if applicable

**Table 19: Traineeships - Learning Delivery FAM fields**

Description	FAM type	FAM code	Aim type
Source of funding	SOF	Code 105 or 107 as applicable	Programme aim and component aims (and core aim for 16-18 yr olds)
Full or co-funding indicator	FFI	16-18 yr olds: Not recorded 19-24 yr olds: As per the funding rules	Programme and component aims
Restart indicator	RES	16-18 yr olds: Not recorded 19-24 yr olds: Code 1 if applicable	Programme and component aims
Learning support funding	LSF	16-18 yr olds: Not recorded 19-24 yr olds: Relevant code if applicable	Programme aim, English/maths component aim only when programme aim has ended
Learning delivery monitoring	LDM	Relevant code if applicable	All aims where applicable
National Skills Academy indicator	NSA	Relevant code if applicable	Programme aim only
Percentage of online delivery	POD	16-18 yr olds: Not recorded 19-24 yr olds: Relevant code	Component aim only
Household situation	HHS	16-18 yr olds: Not recorded 19-24 yr olds: Relevant code	Programme aim only
Date applies from	Date LSF is effective from, if LSF is returned		Programme aim, English/maths component aim only when programme aim has ended
Date applies to	Date LSF is effective to, if LSF is returned		Programme aim, English/maths component aim only when programme aim has ended

**Table 20: Work placement (recorded on the work experience aim)**

Field name	Description
Work placement start date	Start date of the work placement
Work placement end date	End date of the work placement
Work placement hours	Total planned hours associated with the individual work placement
Work placement mode	Mode of the work placement, either internal or external
Work placement employer identifier	The employer identifier of the work placement

**Destination and progression record**

848. A Destination and Progression record must be recorded for all traineeship learners at the end of the programme, regardless of their achievement date.
849. Where you have been unable to contact a learner to obtain information about their destination, then code OTH3 should be recorded.

Field name	Description
Outcome type and code	Type of outcome recorded e.g. job, further learning, apprenticeship
Outcome start date	Start date of the outcome
Outcome end date	End date of the outcome if there is one
Outcome collection date	Date you collected the information from the learner

**13.8 Apprenticeships**

850. The tables below indicate the fields and codes that need to be completed on the ILR for apprenticeships started on or after 1 May 2017 (Funding model 36).
851. The codes given in the tables below are indicative only and apply to Funding model 36 apprenticeship programmes. You should be aware that there might be circumstances where an alternative code applies to a particular apprentice.

**Table 21: Apprenticeships - Learner record**

<b>Learner</b>	
Learner reference number	
Learner reference number in previous year	
UKPRN in previous year	
Pre-merger UKPRN	
<b>Campus Identifier</b>	
Unique learner number	
Family name	
Given names	
Date of birth	
Ethnicity	
Sex	
LLDD and health problem	
National Insurance number	
Prior attainment	
Planned learning hours	
Postcode prior to enrolment	
Postcode	
Address line 1-4	
Telephone number	
Email address	
<b>Off-the-job training hours</b>	
<b>Learner Contact Preference</b>	
Restricted use indicator	
Preferred method of contact	
<b>LLDD and Health Problem</b>	
LLDD and health problem category	
Primary LLDD and health problem	
<b>Learner FAM</b>	
Education Health Care Plan	
Learner support reason	
National learner monitoring	
<b>Learner Employment Status</b>	
Employment status	
Date employment status applies	
Employer identifier	
<b>Agreement identifier</b>	
<b>Employment Status Monitoring</b>	
Self-employment indicator	
Employment intensity indicator	
Length of unemployment	
Benefit status indicator	
Previous education indicator	
Small employer	
<b>Learning Delivery (see Table 22)</b>	
<b>Learning Delivery FAM (see Table 23)</b>	
<b>Apprenticeship financial record (see Table 24)</b>	

**Table 22: Apprenticeships - Learning Delivery**

Field name	Programme aim	Component aims
Learning aim reference	ZPROG001	Valid LARS code
Aim type	1	3
Aim sequence number	Sequence number of aim	
Learning start date	Start date of programme	Start date of aim
Original learning start date	Original start date if the learner has returned after a break	
Learning planned end date	Planned end date of programme	Planned end date of aim
Funding model	36	
Programme type	Valid programme type for the apprenticeship:	
	<b>Code</b>	<b>Description</b>
	2	Advanced-level Apprenticeship
	3	Intermediate-level Apprenticeship
	20	Higher Apprenticeship – level 4
	21	Higher Apprenticeship – level 5
	22	Higher Apprenticeship – level 6
	23	Higher Apprenticeship – level 7+
	25	Apprenticeship standard
Framework code	Valid LARS code ( <i>apprenticeship frameworks only</i> )	
Apprenticeship pathway	Valid LARS code ( <i>apprenticeship frameworks only</i> )	
Apprenticeship standard code	Valid LARS code ( <i>apprenticeship standards only</i> )	
Subcontracted or partnership UKPRN	Not required	Valid UKPRN of subcontracted or partnership delivery provider, if applicable
Delivery location postcode	Actual delivery location postcode for the programme	Actual delivery location postcode for the aim
Funding adjustment for prior learning	Not required unless requested by the ESFA	Proportion of the English or maths aim still to be delivered, if applicable (e.g. the learner has returned after a break in learning)
Other funding adjustment	Not required unless requested by the ESFA	Not required unless requested by the ESFA
Completion status	Relevant code for the programme	Relevant code for the aim
Learning actual end date	Actual end date of the programme	Actual end date of the aim
Withdrawal reason	Relevant code if the learner has withdrawn from the programme	Relevant code if the learner has withdrawn from the aim
Outcome	Relevant code for the outcome of the entire programme	Relevant code
Outcome grade	Not required	Relevant code from <i>Appendix Q</i>

**Table 23: Apprenticeships - Learning Delivery Funding and Monitoring (FAM)**

Description	FAM Type	FAM Code	Required for
Source of funding	SOF	105	Programme and component aims
Eligibility for enhanced apprenticeship funding	EEF	Relevant code, if applicable. Refer to 3.2.1: Eligibility for enhanced apprenticeship funding	Programme and component aims
Restart indicator	RES	Relevant code, if applicable	Programme and component aims
Learning support funding	LSF	Relevant code, if applicable	Programme and English/maths component aims
Learning delivery monitoring	LDM	Relevant code, if applicable	Programme and component aims
Special projects and pilots	SPP	Relevant code, if applicable	Programme and component aims
HE monitoring	HEM	Relevant code, if the Learning Delivery HE entity is returned	Programme and component aims
Apprenticeship contract type	ACT	Relevant code	Programme and English/maths component aims
Household situation	HHS	Relevant code	Programme aims
Date applies from		Date LSF or ACT is effective from	Programme and English/maths component aims
Date applies to		Date LSF or ACT is effective to	Programme and English/maths component aims



**Table 24: Apprenticeships - apprenticeship financial record (Programme aim only)**

Field name	Definition
Apprenticeship financial type	Indicates the type of financial information being recorded: <ul style="list-style-type: none"> <li>- TNP identified negotiated price records</li> <li>- PMR identifies payment records</li> </ul>
Apprenticeship financial code	Identifies the type of TNP or PMR records
Apprenticeship financial record date	The date associated with the financial record
Apprenticeship financial amount	The amount of money recorded on the financial record. This is the actual amount in pounds (to the nearest whole pound) and is the amount excluding VAT.

Apprenticeship financial type	Apprenticeship financial code	Description and use	Programme type required for
TNP	1	Total negotiated training cost	All frameworks and standards
TNP	2	Total negotiated assessment cost	Standards only (ProgType = 25)
TNP	3	Residual training cost	All frameworks and standards, if applicable
TNP	4	Residual assessment cost	Standards only (ProgType = 25), if applicable
PMR	1	Payment record of cash contribution paid to you by the employer for training costs	All frameworks and standards, as applicable
PMR	2	Payment record of cash contribution paid to you by the employer for end point assessment costs	Standards only (ProgType = 25), as applicable
PMR	3	Record of <b>reimbursement</b> by you to the employer for training or assessment costs	All frameworks and standards, as applicable

## Section 14 Related Links to Documents and Information

ILR specification, validation rules and appendices 2018 to 2019

<https://www.gov.uk/government/publications/ilr-specification-validation-rules-and-appendices-2018-to-2019>

ILR: check that data is accurate (funding reports, known issues, FIS guidance)

<https://www.gov.uk/government/publications/individualised-learner-record-ilr-check-that-data-is-accurate>

ILR related documentation (includes links to EAS guidance)

<https://www.gov.uk/government/collections/individualised-learner-record-ilr>

ILR: sources of data

<https://www.gov.uk/government/publications/individualised-learner-record-ilr-sources-of-data>

Learning Aim Class Codes document

<https://www.gov.uk/government/collections/sfa-funding-rates>

ESFA funding rules

<https://www.gov.uk/guidance/sfa-funding-rules>

ESFA: funding rates and formula for the adult education budget, apprenticeships, advanced learner loans and the bursary, ESF and 16 to 18 traineeships.

<https://www.gov.uk/government/collections/sfa-funding-rates>

ESFA 16 to 19 education: funding guidance (comprehensive list of links to guidance and further information)

<https://www.gov.uk/guidance/16-to-19-education-funding-guidance>

ESFA funding regulations for post-16 provision

<https://www.gov.uk/government/publications/advice-funding-regulations-for-post-16-provision>

ESFA Funding guidance for young people – rates and formula

<https://www.gov.uk/government/publications/funding-rates-and-formula>

16 to 19 funding: Maths and English condition of funding

<https://www.gov.uk/guidance/16-to-19-funding-maths-and-english-condition-of-funding>

GCSE, AS and A level reforms

<https://www.gov.uk/government/collections/gcse-as-and-a-level-reforms>

High needs funding arrangements 2018 to 2019

<https://www.gov.uk/government/publications/high-needs-funding-arrangements-2018-to-2019>

Adult education budget funding rules 2018 to 2019

<https://www.gov.uk/government/publications/adult-education-budget-funding-rules-2018-to-2019>

Adult education budget: funding rates and formula 2018 to 2019

<https://www.gov.uk/government/publications/adult-education-budget-funding-rates-and-formula-2018-to-2019>

ESF funding rates for training and skills provision

<https://www.gov.uk/government/publications/sfa-european-social-fund-esf-funding-rates-and-formula>

European Social Fund (ESF) funding and performance management rules 2014 to 2020

<https://www.gov.uk/government/publications/esf-funding-rules>

Programming Period 2014-2020, Monitoring and Evaluation of European Cohesion Policy, European Social Fund Guidance

[http://ec.europa.eu/regional\\_policy/en/information/publications/evaluations-guidance-documents/2013/the-programming-period-2014-2020-guidance-document-on-monitoring-and-evaluation-european-regional-development-fund-and-cohesion-fund](http://ec.europa.eu/regional_policy/en/information/publications/evaluations-guidance-documents/2013/the-programming-period-2014-2020-guidance-document-on-monitoring-and-evaluation-european-regional-development-fund-and-cohesion-fund)

Annex D – Practical guidance on data collection and validation  
paragraph 5.6.1 on page 52

<https://ec.europa.eu/sfc/en/system/files/ged/Annex%20D%20-%20Practical%20guidance%20on%20data%20collection%20and%20validation.pdf>

ESFA Supplementary data collection

<https://www.gov.uk/government/publications/sfa-supplementary-data-collection>

ESFA: financial assurance: monitoring the funding rules (also known as the funding monitoring plan)

<https://www.gov.uk/government/publications/sfa-financial-assurance-monitoring-the-funding-rules>

Advanced learner loans funding and performance management rules 2018 to 2019

<https://www.gov.uk/government/publications/advanced-learner-loans-funding-rules-2018-to-2019>

Apprenticeship funding and performance management rules 2018 to 2019

<https://www.gov.uk/government/publications/apprenticeship-funding-rules-2018-to-2019>

Apprenticeship technical funding guide

<https://www.gov.uk/government/publications/apprenticeship-technical-funding-guide>

Register of end-point assessment organisations

<https://www.gov.uk/guidance/register-of-end-point-assessment-organisations>

Traineeships: Information for employers and education providers

<https://www.gov.uk/government/publications/supporting-young-people-to-develop-the-skills-for-apprenticeships-and-sustainable-employment-framework-for-delivery>

Qualification achievement rates 2017 to 2018

<https://www.gov.uk/government/publications/qualification-achievement-rates-2017-to-2018>

The provider data self-assessment toolkit (PDSAT)

<https://www.gov.uk/government/publications/ilr-data-check-that-it-meets-standards-and-quality-requirements>

The Hub

<https://hub.fasst.org.uk/Pages/default.aspx>

Learning Aims search

<https://hub.fasst.org.uk/Learning%20Aims/Pages/default.aspx>

Learner Records Service (LRS)

<https://www.gov.uk/education/learning-records-service-lrs>

Employer Data Service

<https://edrs.sfa.bis.gov.uk/search/lsc/>

ESFA Service Desk: help and support

<https://www.gov.uk/guidance/esfa-business-operations-help-and-support>

feconnect

<http://feconnect.sfa.bis.gov.uk/>

Tax-free and taxable state benefits

<https://www.gov.uk/income-tax/taxfree-and-taxable-state-benefits>

ESOL guidance

<https://www.gov.uk/government/publications/individualised-learner-record-ilr-guides-for-2014-to-2015>

Specification of apprenticeships standards for England (SASE)

<https://www.gov.uk/government/publications/specification-of-apprenticeship-standards-for-england>

Register of end-point assessment organisations

<https://www.gov.uk/guidance/register-of-end-point-assessment-organisations>

Regulation (EU) No 1304/2013 of the European Parliament and Council

[http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L\\_.2013.347.01.0470.01.ENG](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2013.347.01.0470.01.ENG)

UK NARIC (information about overseas qualifications)

<https://www.naric.org.uk/naric/>

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