



Skills Funding  
Agency

# **Guidance for returning apprenticeships on the ILR from 1 May 2017**

**Version 2**

Title	Guidance for returning apprenticeships on the ILR from 1 May 2017
Purpose	To explain how to record ILR data for learners undertaking apprenticeships funded through the new apprenticeship funding model (Funding model 36) who start from 1 May 2017.
Intended audience	This document is aimed at those responsible for: making data returns, data specification implementation, and MI system design (including MI managers, commercial software suppliers and own software writers)
Version	2

This document should be read in association with the [Apprenticeship funding and performance management rules 2017 to 2018](#) and [Apprenticeship technical funding guidance for starts from May 2017](#).

This document details how to complete the 2016 to 2017 ILR for apprenticeship programmes started on or after 1 May 2017 that are funded through Funding model 36.

The following guidance applies to apprenticeship programmes that start on or after 1 May 2017. This guidance **does not** apply to apprenticeship programme restarts where the original apprenticeship programme began prior to 1 May 2017: for details about how to record these restarted programmes and other apprenticeship programmes started prior to 1 May 2017, refer to the [Provider Support Manual for 2016 to 2017](#).

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## Guidance for recording apprenticeships starting from 1 May 2017 to 31 July 2017, funded through the apprenticeship funding model

1. The Individualised Learner Record (ILR) is used by the Skills Funding Agency (SFA) to collect data about learners and the learning undertaken by them.
2. This is a guide to recording apprenticeship programmes in the ILR that are funded through the new apprenticeship funding model for starts from 1 May 2017. Data in the ILR must be completed according to the collection requirements in the [Specification of the Individualised Learner Record for 2016 to 2017](#).
3. In this document, the term 'you' is used to refer to providers or employers who are responsible for returning data in the ILR. The term 'learner' refers to an apprentice in learning on an apprenticeship programme.
4. 'Assessment' 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.
5. We will use the generic term 'apprenticeship' for all types of apprenticeships (frameworks and standards), unless we state otherwise.
6. The Learning Aims Reference Service (LARS) database holds information about learning aims. The database can be downloaded from the Hub or searched online using the [Learning Aims Search](#) facility.
7. Each apprenticeship programme comprises of a programme aim and one or more component aims. For apprenticeship frameworks, these components are: competency, knowledge and functional skills aims.
8. Additional guidance about returning ILR data can be found in the [Provider Support Manual for 2016 to 2017](#).
9. 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 £3 million and is consequently required to contribute to the apprenticeship levy. We use the term 'levy paying employer' for these employers in this document.
  - A contract for services with the Skills Funding Agency. This will occur where the employer who has employed the apprentice does not have a pay bill over £3 million and so is not required to contribute to the apprenticeship levy. We use the term 'non-levy paying employer' for these employers in this document.

### Section 1 When to return ILR data

10. Data for apprenticeships starting from 1 May 2017 must be included in your usual ILR submission and returned in line with the ILR collection timetable as detailed in [Appendix A](#).
11. You must ensure that the data held by the SFA is complete and fit for purpose by the return date in Appendix A. This return date is a hard close date for submitting ILR data.
12. You must include all learners who have attended one episode of learning. 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.

### Section 2 Learner entity

13. You should return only one Learner record for each learner. The data recorded in the Learner entity contains basic information about the learner, such as their name, date of birth, sex and ethnicity.

14. 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 in the ILR and the data held by the LRS updated.
15. The following entities may not be required for all apprentices:
  - LLDD and Health Problem – this entity is used to record additional information about a learner's disabilities, learning difficulty and/or health problem. This entity is only required where applicable
  - Learner HE and Learner HE Financial support – these are HE data fields that are only required for apprenticeship programmes where prescribed HE learning aims are being delivered as part of the apprenticeship programme.

## 2.1 Unique learner number and National Insurance number

16. You must obtain a Unique Learner Number (ULN) for all learners from the [Learning Records Service](#).
17. The ULN is mandatory and validation is used to enforce that it is returned. For apprenticeships funded through a contract for services with the employer (identified by recording Learning Delivery Funding and Monitoring code ACT1), you must have a ULN for the learner: you cannot record a temporary ULN of 9999999999 for these learners.
18. You should treat the National Insurance (NI) number as mandatory and record this at the start of the apprenticeship. For apprenticeships funded through a contract for services with the employer (Learning Delivery Funding and Monitoring = ACT1), completion of the NI number is validated.
19. NI numbers cannot be issued on request to young people below the age of 15 years 9 months. HM Revenue and Customs (HMRC) issue NI numbers to all young people between the ages of 15 years 9 months and 15 years 11 months so that they have a NI number for when they are eligible to start an apprenticeship.

## 2.2 Learner contact

20. The Postcode prior to enrolment must be completed when the learner first enrolls on an apprenticeship programme. You must also supply a current postcode for all learners.
21. 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; by telephone, email or post.
22. It is important that learner contact preferences are captured using the "opt out" questions illustrated in [Appendix F](#).

## 2.3 LLDD and Health Problem entity

23. This entity is used to collect details about the nature of the learning difficulties, disabilities and health problems of the learner. This is self-assessed by the learner. A learner may record as many LLDD and health problem categories as apply.
24. The Primary LLDD and health problem field must be returned against one of the LLDD and health problem records to indicate the most significant learning difficulty, disability or health problem that impacts on the learner's education and training. This field is not completed if the only LLDD and health problem category returned is code 98 'Prefer not to say' or code 99 'Not provided'.

## 2.4 Learner Employment Status

25. Employment status data is used to monitor and ensure eligibility for funding for apprentices; you must complete the employment status records accurately.

26. For all apprentices, you must return an employment status record for the learner's employment status with a Date employment status applies that is prior to the start of the programme.
27. A new employment status record with a Date employment status applies of the first day of the apprenticeship programme must be added if:
  - The learner was unemployed prior to starting the programme, or
  - The learner was employed with a different employer prior to starting their programme.
28. All apprentices must have an employment status record that applies on the first day of their apprenticeship programme with an Employment status of 'In paid employment' (Employment status code 10).
29. A new employment status record must be added if there is any change in the learner's employment status or employment status monitoring during their programme; for example, a change in the learner's employer.
30. Small employers (as defined in the funding rules) should be identified on the ILR by returning the code SEM1 in the Employment Status Monitoring fields.

### **Examples**

#### **Example 1: Apprentice who is unemployed prior to starting the programme**

A learner starts an apprenticeship programme on 15 May 2017 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 May 2017 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 May 2017 is recorded with a status of "in paid employment" (code 10). The Employer identifier for ABC engineering is recorded.

#### **Example 2: Apprentice who is employed with a different employer prior to starting the programme**

A learner starts an apprenticeship programme on 28 May 2017 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 May 2017 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 May 2017 is recorded with a status of "in paid employment" (code 10). The Employer identifier for ABC engineering is recorded.

#### **Example 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 2017 with a new employer (DEF engineering).

- A new Employment status record with a date of 4 June 2017 is recorded with a status of "in paid employment" (code 10). The Employer identifier for DEF engineering is recorded.

## Section 3 Learning Delivery entity

31. The Learning Delivery entity contains information such as learning start and end dates, funding information, and learning outcome. For apprenticeship programmes, a Learning Delivery record must be returned to describe the programme being followed: this is known as the 'programme aim'. The programme aim record contains information about the overall apprenticeship programme.
32. The following entities are linked to the Learning Delivery entity and contain data that is required for all learners:
  - Learning Delivery Funding and Monitoring – this entity is used to record additional data to support funding and learning delivery monitoring, for example to record Learning Support Funding and Apprenticeship contract type. The Apprenticeship contract type is required for all programme aims, and English and maths component aims for all funded apprenticeship programmes that start on or after 1 May 2017.
  - Trailblazer Apprenticeship Financial Record – this entity is used to record additional data to support funding for apprenticeship programmes. This must be returned on the programme aim for all funded apprenticeship programmes that start on or after 1 May 2017.
33. The Learning Delivery HE entity is linked to the Learning Delivery entity and contains data that may not be required for all learners. This entity contains HE data fields that are only required for apprenticeship programmes where prescribed HE learning aims are being delivered as part of the apprenticeship programme. **These aims are identified by having code 1 in the EnglPrscID field in the LARS database.**

### 3.1 Recording apprenticeship programmes

34. Apprenticeship programmes are composed of one programme aim and at least one component learning aim.
35. All learning undertaken as part of the apprenticeship programme, including regulated qualifications and non-regulated learning activity, must be recorded on the ILR.
36. The Aim type field is used to identify whether a learning aim is a programme aim or a component aim in the ILR:
  - Programme aims must be recorded with Aim type code 1
  - Component aims are recorded with Aim type code 3
37. You must record a programme aim for all apprenticeship programmes. The programme aim records the start date, planned end date, actual end date and completion and outcome data relating to the overall programme.
38. **The table below identifies some of the key Learning Delivery fields recorded for apprenticeship aims and guidance about completing them. A complete list of fields that should be returned can be found in Section 6.**

Field Name	Notes
Learning aim reference number	This must be a valid code in the LARS database
Aim type	Identifies whether the learning aim is a programme aim or a component aim
Funding model	For funded apprenticeships started on or after 1 May 2017 the Funding model must be recorded as code 36
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

Field Name	Notes
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 when a specific component aim starts
Learning planned end date	This should reflect how long the learner 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 an apprenticeship programme as specified in the funding rules. The Learning planned end date for an apprenticeship standard programme must include both the training and end point assessment period.

39. If there is a delay in the publication of learning aim information in the LARS database, then you can temporarily record the Learning aim reference of the nearest equivalent aim (in terms of type of provision).
  40. Code LDM118 must also be recorded in the Learning Delivery Funding and Monitoring fields to indicate that the learning aim reference recorded is being used as a proxy for the actual learning aim that is being undertaken.
  41. 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.
  42. 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 fail validation.
  43. If no regulated qualifications are undertaken as part of an apprenticeship standard programme, you should record one of the non-regulated learning aims held in the LARS database as the component aim. These non-regulated codes should be taken from Category E of [Appendix H](#).
- 3.1.1 Funding adjustment for prior learning and Other funding adjustment**
44. The Funding adjustment for prior learning field may be used, if applicable, for English and maths learning aims.
  45. This 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 a 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 the apprentice joins as a new learner on a new learning aim.
  46. If you are delivering all of the learning for the aim and no adjustment to funding is required, then this field does not need to be returned.
  47. 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 upon the percentage difference between the original planned duration and the proportion of that time that they have been in learning.
  48. The funding adjustment is applied to monthly funding instalments, including balancing payments where applicable.

49. The Other funding adjustment field must only be completed if requested by the SFA 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 SFA will inform you of the factor to be used in this field if it is required.

### 3.1.2 Subcontracted or partner UKPRN

50. This field is completed where you are a lead provider and any part of the aim is subcontracted. Where the individual parts of the aim are subcontracted to numerous providers, you should record the UKPRN of the provider delivering the greatest proportion of the aim.
51. If the subcontracting partner changes, then this field should be updated with the new subcontractor's UKPRN. No other changes are required do not record this as an aim transfer.
52. If you are an FE college delivering subcontracted aims on behalf of another provider, then you should include these aims on the ILR as non-funded learning (Funding model = 99) and do not complete the Subcontracted or partner UKPRN field.

### 3.2 Recording Learning Delivery Funding and Monitoring (FAM)

53. 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.
54. The Funding and Monitoring (FAM) Type identifies the type of data to be collected and is recorded with an associated FAM Code.
55. You are only required to return FAM records if the FAM type characteristics apply to that learning aim.
56. Refer to the [ILR specification](#) for further information and the collection requirements for individual FAM types. The table below provides a brief description of the main FAM types that may be applicable for apprenticeship programmes:

FAM Type	FAM Type Description	Definition
SOF	Source of funding	The organisation or source from which funding has been received directly for this learning aim in this funding year
EEF	Eligibility for enhanced apprenticeship funding	Indicates eligibility for enhanced apprenticeship funding
RES	Restart indicator	Identifies whether the learner has restarted the learning aim
LSF	Learning support funding	Identifies whether the learner requires learning support funding for this learning aim
LDM	Learning delivery monitoring	Indicates participation in programmes or initiatives
HEM	HE monitoring	The HE monitoring codes should be used if they apply for aims where Learning Delivery HE data is returned
ACT	Apprenticeship contract type	The type of contract under which this apprentice on this apprenticeship is being funded

57. For funded apprenticeship aims, the following FAM types are mandatory:
- Source of funding (SOF): this must be completed on all aims
  - Apprenticeship contract type (ACT): this must be returned on the programme aim and any English and maths component aims

58. You must record the Source of funding using code SOF105 (Skills Funding Agency) for all funded apprenticeship aims.

### 3.2.1 Eligibility for enhanced apprenticeship funding

59. This FAM type is used to calculate funding and monitor eligibility for additional payments funded through Funding model 36.
60. The table below shows when each of the codes for Eligibility for enhanced apprenticeship funding (EEF) to be used in Funding model 36 to indicate eligibility for additional payments:

FAM Type	FAM Code	Description	To be used where
EEF	2	Entitlement to 16-18 apprenticeship funding where the learner is 19 or over	<ul style="list-style-type: none"> <li>The learner is restarting their programme on or after their 19<sup>th</sup> birthday and was aged 16-18 when they originally started</li> <li>The learner is 19-24 and has an EHC plan (Education health and care plan)</li> <li>The learner 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</li> </ul>
EEF	4	Entitlement to extended funding for apprentices aged 19 to 24	<ul style="list-style-type: none"> <li>The learner is 19-24 at the start of their programme and has been in the care of the local authority as defined in the funding rules</li> </ul>

61. If a learner started their programme aged 18 and then is 19+ when they start one of the component aims within the programme, an EEF code is not required.
62. When a learner is recorded with the FAM type EEF due to restarting their programme, the Restart indicator (RES) must also be returned in the Learning Delivery FAM fields.

### 3.2.2 Restart indicator

63. This FAM type must be used to indicate that the learner has restarted a learning aim or their programme. The Restart indicator (RES) should only be used if the learner is returning to a learning aim that they have previously started on, for example the learner is returning after a break in learning or has transferred from studying the same learning aim with another provider.
64. If the learner has restarted the entire apprenticeship programme then the Restart indicator must be recorded against the programme aim and all the learning aims within the programme. If only one of the aims within the programme has been restarted then the Restart indicator is only recorded against that aim. **See Section 5.7 for guidance about recording restarts.**
65. When learners return from a break in learning, you must record the Original learning start date in addition to the Restart indicator.
66. The Restart 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.
67. If a learner restarts an apprenticeship that originally started on either Funding model 35 (for apprenticeship frameworks) or Funding model 81 (for apprenticeship standards), then they must continue to be recorded under the same funding model. Their restarted apprenticeship must not be recorded under Funding model 36: they continue to be funded under their original funding model.

### 3.2.3 Learning support funding

68. Learning Support is provided to help you to work flexibly and provide support actively 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. Learning Support also provides funding to meet the cost of reasonable adjustments as set out in the Equality Act 2010.
69. The Learning support funding (LSF) FAM type should be recorded against the programme aim for all learners who require learning support funding. If you record LSF then you will also need to complete the Date applies from and Date applies to fields. See Section 3.2.5 for further details about these date fields.

### 3.2.4 Apprenticeship contract type

70. The apprenticeship contract type FAM identifies the contract type under which a learner 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 Skills Funding Agency.
71. The Apprenticeship contract type (ACT) FAM type must be recorded on all apprenticeship programme aims and English and maths component aims.
72. You must also complete the Date applies from and Date applies to fields. The Date applies from for the first ACT record must be the same as the Learning start date, and the Date applies to should initially be the same as the Learning planned end date.
73. If there is a change in the Apprenticeship contract type during the programme then a new ACT record must be added:
  - Update the 'Date applies to' of the previous ACT record to the date **the 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.
74. The ACT records for the programme aim and English and maths aims for the same apprenticeship programme must have the same FAM code (either ACT1 or ACT2). At any point in time, a learner cannot be recorded on both ACT1 and ACT2: the codes recorded on their aims must be the same.
75. If the learner is still in learning after the planned end date of the programme, then the 'Date applies to' of the latest ACT record must be updated to the Learning actual end date of the aim.
76. The ACT records must cover the entire duration of the apprenticeship programme, if there are multiple ACT records **on a learning aim** then they must have consecutive Date applies to and Date applied from dates.

### **Example**

- A learner starts their apprenticeship on 1 May 2017 with a planned duration of 13 months, and is employed by a levy paying employer. A Learning Delivery FAM record will be recorded with a FAM type of ACT and FAM code 1, the Date applies from will be recorded as 1 May 2017 and the Date applies to will be 1 June 2018.
- On 4 June 2017, the learner changes employer to a non-levy paying employer, the Date applies to on the existing ACT record is updated to 3 June 2017. A new ACT record is added with FAM code 2, the Date applies from will be recorded as 4 June 2017 and the Date applies to will be 1 June 2018.
- The learner is also taking an English aim as part of their apprenticeship, this aim starts on 5 June 2017 and is planned to finish at the end of the programme. A Learning Delivery FAM record will be recorded on this aim with a FAM type of ACT and FAM code 2, the Date applies from will be recorded as 5 June 2017 and the Date applies to will be 1 June 2018.

### **3.2.5 Date applies from/Date applies to**

77. The Date applies from and Date applies to fields must be completed when a Learning Delivery FAM type of Learning support funding (LSF) or Apprenticeship contract type (ACT) is recorded. These date fields indicate when the funding or contract is effective from and effective to.
78. If the status changes during the funding year, new FAM records should be added with new corresponding dates, you **must not** close the learning aim and open a new one.
79. If Learning support 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 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.

### **Example**

- A learner starts their apprenticeship on 1 May 2017 and 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 May 2017 and the Date applies to will be 1 July 2017.

80. If the period of time recorded on the ILR is less than one calendar month, then this will not generate Learning support funding. You will need to claim the Learning support funding through the Earnings adjustment statement (EAS).
81. Further information and guidance about the [Earnings Adjustment Statement for 2016 to 2017](#) can be found on gov.uk

### **3.3 Recording Apprenticeship Financial Records**

82. You must return financial details about each apprenticeship programme in the entity called 'Trailblazer Apprenticeship Financial Record'. This information is used to calculate funding for the apprentice.
83. Each apprenticeship programme will have a number of separate financial records associated with the programme aim.
84. You must ensure that data in the Trailblazer Apprenticeship Financial Record entity is accurate and complete. In particular, please ensure that the financial amounts and dates recorded are correct as these will impact on funding.

85. The Trailblazer Apprenticeship Financial Record dataset contains the following fields:

Field Name	Definition
Trailblazer financial type	Indicates the type of financial information being recorded: <ul style="list-style-type: none"> <li>• TNP identifies total negotiated price details</li> <li>• PMR identifies payment records</li> </ul>
Trailblazer financial code	Identifies different types of TNP or PMR records
Trailblazer 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>
Trailblazer 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.

86. 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 cash contributions from the employer to the training provider or (for standards only) for the end point assessment organisation. Cash payments reimbursed to the employer are also recorded as payment records. See paragraph 97 for details about when employer cash contributions should be made.

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

Trailblazer financial type	Trailblazer 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, see Section 50 below for further details
TNP	4	Residual assessment cost – recorded if applicable for apprenticeship standards only, see Section 5 below for further details
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. <b>This must not be used to record transfer of additional payments from the provider to the employer.</b>

88. At the start of the apprenticeship programme, you must record the price agreed between you and the employer. For apprenticeship standards this requires two TNP records: one for the negotiated price for training (TNP1 or 3) and one for the negotiated price of the end point assessment (TNP2 or 4) as agreed between you and the employer. For apprenticeship frameworks you only need to record the negotiated price for training (TNP1 or 3).

89. 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.
90. The financial record date for the initial record(s) must be the start date of the apprenticeship programme aim.
91. 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.
92. 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.
93. 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. Refer to Section 5 for details about how to record ILR data following a change in circumstance or a change in the negotiated price.
94. 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.
95. Payment records must only be used to record payments actually received from the employer.
96. 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.
97. Employers are required to make co-investment cash contributions in the following circumstances:
  - The employer is a non-levy paying employer and the apprenticeship 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 Financial Record:**

- A learner starts a Software developer apprenticeship standard programme on 1 May 2017 with a planned end date of 1 June 2018.
- 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 13 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 record on 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 (1 May 2017). See the table below.

TBFinType	TBFinCode	TBFinDate	TBFinAmount
TNP	1	01/05/2017	13000
TNP	2	01/05/2017	3250

- Refer to the [Apprenticeship technical funding guide for starts from May 2017](#) for details about how funding is calculated for the programme.

98. For more information about apprenticeship funding and employer payments, refer to the [apprenticeship funding rules](#).

### 3.3.1 Additional payments

99. Additional payments, as defined in the funding rules, are automatically calculated from your ILR records: you do not have to record any extra information to generate these payments.
100. If you receive any additional payments, these **must not** be recorded in the Trailblazer Apprenticeship Financial Record.

### 3.4 Recording Higher Education (HE) data

101. The ILR contains two HE datasets: the Learner HE entity and the Learning Delivery HE entity.
102. These datasets are collected for learners and learning aims where the learning aims are identified as prescribed HE in the LARS database (using the field EngIPrscID field). HE data is not returned for apprenticeship learning aims that are not prescribed HE.
103. The Learner HE and Learning Delivery HE fields should be completed as accurately as possible, and 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.
104. In addition to the Learning Delivery HE fields, you may also need to complete the HE monitoring data in the Learning Delivery Funding and Monitoring entity.
105. The Learner HE entity also contains the Learner HE Financial Support entity. This 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. Refer to the [Provider support manual](#) for further details about this entity.

### 3.5 Recording higher and degree apprenticeships

106. Where the HE qualifications being undertaken are not listed in the LARS database, for example for a foundation degree or degree awarded by a HEI, you will need to request that the learning aim is added into the LARS database.
107. To request HE learning aims for use within an apprenticeship, please complete the form that is available on the following webpage:  
<https://www.gov.uk/government/publications/individualised-learner-record-ilr-sources-of-data>
108. Additional information and guidance about higher and degree apprenticeships, and guidance for HEIs delivering higher and degree apprenticeships can be found on the [SFA: higher and degree apprenticeships](#) page on GOV.UK

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

109. HEIs must send an ILR return for all higher and degree apprenticeships that start on or after 1 May 2017.
110. In addition to returning an ILR, all learners undertaking higher or degree apprenticeships must also be included within the HESA returns for 2016 to 2017.
111. There are different options available to you to create an ILR return:
- Use your existing MIS software – you may need to procure additional functionality to do this
  - Use the ILR data entry tool provided by the SFA on the Hub
  - Work with a partner, e.g. an FE college
  - From 2016 to 2017, you can use a new facility provided by HESA which will create an ILR return from your HESA student record. Additional fields have been added to the HESA student record to enable an ILR return to be produced by HESA for you.

You are responsible for ensuring that the data meets all the SFA’s requirements as detailed in the ILR Specification and that the validation rules are met.

- 112. Where a HEI is the lead provider for the apprenticeship programme, the ILR return must include all of the learning delivery as part of the programme, including the HE learning aims, any other qualifications, any non-regulated qualifications, etc.
- 113. 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. See the [Data Requirements for Higher Education Institutions \(HEIs\)](#) for further details.

### 3.7 Recording learning outcomes

- 114. The ILR must be completed and updated regularly to reflect progress in the learner’s programme. Information should be updated when the outcome of learning is known.
- 115. The table below illustrates how to record the Learning Delivery fields for continuing aims and completed aims.

Field name	Continuing aims	Completed aims								
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	Use the relevant code: <table border="1" style="margin-left: 20px;"> <thead> <tr> <th>Code</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Achieved</td> </tr> <tr> <td>3</td> <td>Not achieved</td> </tr> <tr> <td>8</td> <td>Complete but outcome not yet known</td> </tr> </tbody> </table>	Code	Description	1	Achieved	3	Not achieved	8	Complete but outcome not yet known
Code	Description									
1	Achieved									
3	Not achieved									
8	Complete but outcome not yet known									

- 116. In the scenario where a learner undertakes an aim, finishes their learning, then takes the assessment and fails, then this aim should be closed and recorded as not achieved. Where this learner 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 learner is only resitting the assessment, then a new aim must not be recorded.
- 117. If a learner withdraws from their apprenticeship programme, you must update the ILR as detailed in Section 5.6.

#### 3.7.1 Recording apprenticeship framework completions

- 118. For apprenticeship frameworks, when the apprenticeship has been completed, the following must 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 should be closed with the Learning actual end date recorded as the last learning activity for the entire programme.
  - The Date applies to for the latest Apprenticeship contract type FAM record must be set to the same date as the Learning actual end date.
- 119. 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’.
- 120. All open and closed learning aims that are part of the framework must be returned on the ILR for an apprenticeship programme until the framework is completed.

### 3.7.2 Recording apprenticeship standard completions

121. 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 for the latest Apprenticeship contract type FAM record must be set to the same date as the Learning actual end date.
122. 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'.
123. All open and closed learning aims that are part of the standard must be returned on the ILR for an apprenticeship programme until the standard is completed.
124. 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 as completed in the Completion status field.

## Section 4 Apprenticeship training agencies (ATAs)

125. 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. You must ensure that this data is accurately completed on your ILR return.
126. Apprentices who are employed with an ATA should be recorded on the ILR in the same way as other apprentices, paying particular attention to the following:
  - Record code LDM130 in the Learning Delivery Funding and Monitoring fields against **all** aims delivered as part of the apprenticeship where the learner 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 for each learning aim must record where the 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 must be recorded for this aim. If the knowledge learning aim for an apprenticeship framework is delivered by the training provider, then the postcode of the provider should be recorded for this aim.

### **Examples**

#### **Example 1: 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 postcode 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.

**Example 2: 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 for 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.

127. 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 Funding and Monitoring fields instead of LDM130.

## Section 5 Recording changes

128. The ILR records details about the apprentice, the apprenticeship programme, and the learning aims within the programme. It is possible that the information recorded in the ILR will change as a result of either a change in circumstances of the learner, or a change to their programme or the aims they are studying. The main reasons for changing and ILR record are:
- Correcting errors
  - Changes to a learner's details in the Learner entity
  - Changes in a learner's programme or learning aim

### 5.1 Correcting errors

129. The correction of data entry errors in ILR data can usually be made as soon as they are found, but only within the current teaching year. **You must not change ILR data after the final return for the year (R14).**
130. Any changes that are made after the funding qualifying period must be due to administrative errors only and not due to a learner changing aim or programme.
131. Contact the Service Desk on 0370 2670001 or <https://www.gov.uk/government/publications/sfa-data-services-help-and-support> if you need advice on making a correction.

### 5.2 Changes to details in the Learner entity

132. Where there is a change in the learner's circumstances which does not lead to a change in their programme, for example a new address or a change in contact details, then the learner's data can be updated.
133. **See section 5.5 below for details about recording changes in the learner's circumstance that lead to a change in their programme.**

### 5.3 Changes in employer

134. **If there is a change to the learner's employer during their programme then you must record a new Learner Employment Status record to reflect this.**
135. **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 learner has changed from a levy employer to a non-levy employer then a new FAM record with ACT2 must be recorded. There should be no other changes to the learning aims.**
136. **You must record a new price record on the programme aim, this price record must reflect the cost for the remaining amount of the programme to be delivered with the new employer. This residual code must be recorded using TBFinCode = 3 for training and TBFinCode = 4 for assessment, as applicable.**
137. **If a learner is made redundant you must record this in a new Learner Employment Status record with Employment status code 11 or 12. While the learner is eligible to continue on 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.**
138. **If a learner becomes unemployed and is not eligible to continue their programme, they must be withdrawn from the apprenticeship: see Section 5.6.**

### Example: Apprentice changes employer from a levy employer to a non-levy employer

Learner Employment Status				
<i>Employment status</i>		<i>Date applies</i>		<i>Employer ID</i>
10		30 Apr 2017		123456789
10		1 Nov 2017		987654321
Learning Delivery record				
	<i>Learning start date</i>	<i>Learning planned end date</i>	<i>Learning actual end date</i>	<i>Completion status</i>
Programme aim	1 May 2017	10 May 2018		1
Learning Delivery FAM record				
<i>FAM Type</i>	<i>FAM Code</i>	<i>Date from</i>	<i>Date to</i>	
Source of funding	105	Not returned	Not returned	
Apprenticeship contract type	1	1 May 2017	31 Oct 2017	
Apprenticeship contract type	2	1 Nov 2017	10 May 2018	
Trailblazer Apprenticeship Financial record				
<i>TBFinType</i>	<i>TBFinCode</i>	<i>Amount</i>	<i>Date</i>	<i>Notes</i>
TNP	1	12000	1 May 2017	Agreed training price
TNP	2	3000	1 May 2017	Agreed assessment price
TNP	3	6000	1 Nov 2017	Agreed residual training price

### Changes to negotiated prices

139. If at any point during the apprenticeship programme a new price is negotiated for the programme, then this must be recorded in a new price record (TBFinType = TNP). You must record the date that the new price applies from in the TBFinDate field.
140. 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). 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).
141. See Section 5.3 above for details about when you might record a residual price.
142. 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.

### 5.4 Changes to the Start and Planned End Dates

143. These fields are used to inform the calculation of funding. There **must not** be any changes made to the start or planned end information after the funding qualifying period, except to correct errors.
144. 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 aim and/or learning aim(s) created. See Section 5.7.2 for details about recording transfers.
145. The Learning planned end date must be entered at the start of the learning aim. It is important that this date is set realistically based on a range of factors including the learner's initial assessment, delivery patterns and historic performance.
146. 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 programme or aim beyond the planned end date then this should be reflected in the Learning actual end date field. The Learning planned end date must remain unchanged.

147. If learning continues after the planned end date for the apprenticeship programme or for English and maths aims, then the 'Date applies to' for the Apprenticeship contract type (FAM Type = ACT) records associated with the aim(s) must be updated. Once these aims are closed, the Date applies to for the latest ACT record must be the same as the Learning actual end date of the aim.
148. The Learning start date and Learning planned end date must remain that same between teaching years as they are used in the calculation of success rates.

## 5.5 Changes to the learning aim

149. All changes to learning objectives and aims must be recorded in the learner's apprenticeship agreement.

### 5.5.1 Changes to learning aims within the funding qualifying period

150. The funding qualifying period is defined in the [apprenticeship funding rules](#) document and is based on the number of days in learning for each learning aim.
151. 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.
152. Any changes to learning aims after the funding qualifying period must be recorded as a withdrawal or transfer.

## 5.6 A learner is absent or withdraws

153. You must determine the intent of learners who are absent from learning, whether they expect 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.
154. A learner must be considered to have withdrawn from a programme when they have:
- Made known a decision to withdraw from the programme,
  - Exceeded your absence and withdrawal policy, or
  - You have removed them from learning
155. When a learner withdraws, the programme aim and associated component learning aims should be closed as in Table 1:

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

Field Name	Data returned
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

156. The Date applies to for the latest Learning Delivery FAM records with FAM Type = ACT (on the programme aim and any English or maths aims) must be set to the Learning actual end date of the aim.
157. Where applicable, employer co-investment should be reconciled to the date of withdrawal. Any employer payments for training and/or assessment that have not been delivered by the withdrawal date should be repaid to the employer. You must record repayments made to the employer with TBFInType = PMR and TBFInCode = 3.
158. You must record ILR data for learners who have attended one episode of learning. If a learner withdraws within the funding qualifying period, they must still be including in the ILR.

159. If the learner withdraws **without** completing one episode of learning, then they **must not** be included in the ILR.

**Example: Apprentice is employed with a non-levy paying employer and withdraws after 6 months**

Learning Delivery record						
	Learning start date	Learning planned end date	Learning actual end date	Completion status	Outcome	Withdrawal reason
Programme aim 1	1 May 2017	10 May 2018	20 Nov 2017	3	3	Relevant code
Learning Delivery FAM record						
FAM Type	FAM Code		Date from	Date to		
Source of funding	105		Not returned	Not returned		
Apprenticeship contract type	2		1 May 2017	20 Nov 2017		
Trailblazer Apprenticeship Financial record*						
TBFinType	TBFinCode	Amount	Date	Notes		
TNP	1	12000	1 May 2017	Agreed training price		
TNP	2	3000	1 May 2017	Agreed assessment price		
PMR	1	300	1 May 2017	First employer contribution for the training		
PMR	1	300	1 Aug 2017	Second employer contribution for the training		
PMR	1	300	1 Nov 2017	Third employer contribution for the training		
PMR	3	300	20 Nov 2017	Repayment from the provider to the employer for training not delivered		

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

## 5.7 Recording breaks in learning, transfers and restarts

160. The following guidance details how to record breaks, transfers and restarts in the Learning Delivery data on the ILR.

### 5.7.1 Recording agreed breaks in learning

161. 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, this should be recorded by closing the aims in the ILR as in Table 2.
162. The Date applies to for the latest Learning Delivery FAM records with FAM Type = ACT (on the programme aim and any English or maths aims) must be set to the Learning actual end date of the aim.
163. Record any repayments of employer co-investment, if applicable, using TBFinType = PMR and TBFinCode = 3.
164. You must not record a break in learning unless the employer and learner have agreed this, the learner is intending to return to learning at a later point, and you have supporting evidence of this.

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

Field Name	Data 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

165. When the learner returns to learning, a new programme aim and component learning aim(s) should be created as in Table 3. The original learning aims on the ILR must not be reopened.
166. Record the price details as required using TBFinType = 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.
167. 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.
168. If the learner does not return from an agreed break in learning then the learning aims must be updated to indicate that the learner has withdrawn (see Table 1).

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

Field Name	Programme aim	Component 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	Date on which the learner originally started the programme	Date on which the learner originally started the learning aim
Learning planned end date	New planned and date for the programme	New planned and date for the learning aim
Funding adjustment for prior learning (Learning Delivery FAM)	Not returned	Proportion of the English or maths learning aim still to be delivered
Restart indicator (Learning Delivery FAM)	Use code RES1	Use code RES1
Eligibility for enhanced apprenticeship funding (Learning Delivery FAM)	Relevant code, if applicable	Relevant code, if applicable
Apprenticeship contract type (Learning Delivery FAM)	Relevant code	Relevant code (English and maths aims only)
Date applies from (Learning Delivery FAM)	Programme start date (Apprenticeship contract type FAM records only)	Learning aim start date (Apprenticeship contract type FAM records only)
Date applies to (Learning Delivery FAM)	Relevant date, initially set to the programme planned end date (Apprenticeship contract type FAM records only)	Relevant date, initially set to the aim planned end date (Apprenticeship contract type FAM records only)

169. If a learner 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.
170. You must continue to report a learner on a break in learning in your ILR records until either the learner returns and restarts their learning, or you report the learner as having withdrawn.

171. If the learner 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: 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

<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>	<i>Outcome</i>	<i>Withdrawal reason</i>
Programme aim 1	1 May 2017	10 May 2018	20 Nov 2017	6	3	Relevant code
<b>Learning Delivery FAM record</b>						
<i>FAM Type</i>		<i>FAM Code</i>		<i>Date from</i>		<i>Date to</i>
Source of funding		105		Not returned		Not returned
Apprenticeship contract type		1		1 May 2017		20 Nov 2017
<b>Trailblazer Apprenticeship Financial record</b>						
<i>TBFinType</i>	<i>TBFinCode-</i>	<i>Amount</i>	<i>Date</i>	<i>Notes</i>		
TNP	1	12000	1 May 2017	Agreed training price		
TNP	2	3000	1 May 2017	Agreed assessment price		

Programme aim 2 – recorded when the learner restarts after the break

<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>	<i>Original learning start date</i>	
Programme aim 1	1 Jan 2018	10 Jul 2018		1	1 May 2017	
<b>Learning Delivery FAM record</b>						
<i>FAM Type</i>		<i>FAM Code</i>		<i>Date from</i>		<i>Date to</i>
Source of funding		105		Not returned		Not returned
Restart indicator		1		Not returned		Not returned
Apprenticeship contract type		1		1 Jan 2018		10 Jul 2018
<b>Trailblazer Apprenticeship Financial record</b>						
<i>TBFinType</i>	<i>TBFinCode</i>	<i>Amount</i>	<i>Date</i>	<i>Notes</i>		
TNP	1	12000	1 Jan 2018	Agreed training price		
TNP	2	3000	1 Jan 2018	Agreed assessment price		

## 5.7.2 Recording transfers

172. 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.

### Learner transfers to a different learning aim with the same provider

173. If a learner transfers to another learning aim after the funding qualifying period, then the original learning aim record(s) must be closed and new learning aim(s) recorded as in Table 4. You must not amend the details on the original learning aim(s) **except to update the Date applies to field on an Apprenticeship contract type FAM record, if applicable. For a closed aim, the Date applies to field on the latest Apprenticeship contract type FAM record must match the Learning actual end date of the aim.**

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

Closing aims		Recording new aims after a transfer within the same provider	
Field name	Data returned	Field name	Data returned
Completion status	3	Learning start date	Date on which the learner starts the new learning aim
Learning actual end date	Date of the last learning activity for the aim	Original learning start date	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 (English and maths aims only)
Outcome grade	Data not returned	Restart indicator (FAM)	Data not returned

174. The start date of the new learning aim cannot be earlier 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.

### Learner transfers to a different apprenticeship programme with the same provider

175. If the learner changes to a new framework, standard or pathway you must:
- Close the programme aim and any learning aims that the learner 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 records on these aims.**
  - **If applicable, record repayments of employer co-investment using TBFInType = PMR and TBFInCode = 3.**
176. Create a new programme aim, and new learning aims if required. Record the new framework/standard/pathway as applicable, see Table 5. **Price records must be recorded on the new programme aim using TBFInType = TNP.**
177. If the learner 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 5: Recording new aims when a learner transfers to a different apprenticeship programme**

Field name	Programme aim	Component aims
Learning start date	Date on which the learner starts the new programme	Date on which the learner 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)

178. If the learner is continuing on the same framework but has changed pathway, the Funding and Monitoring type and code EEF2 (Eligibility for enhanced apprenticeship funding) should be recorded in the following circumstances:

- Learner was aged 16-18 when they started their apprenticeship programme but is aged 19 or over when they transfer to the new pathway.
- Learner is aged 19-24 and has an EHC plan

179. In all cases, the ILR should be completed to reflect the reality of the situation.

**Example: Apprentice with a non-levy paying employer transfers to a different standard**

<b>Learning Delivery record –first programme aim</b>							
	<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>	<i>Standard code</i>
Programme aim 1	1 May 2017	1 Nov 2018	20 Nov 2017	3	3	40	11
<b>Learning Delivery FAM record</b>							
<i>FAM Type</i>		<i>FAM Code</i>		<i>Date from</i>		<i>Date to</i>	
Source of funding		105		Not returned		Not returned	
Apprenticeship contract type		2		1 May 2017		20 Nov 2017	
<b>Trailblazer Apprenticeship Financial record</b>							
<i>TBFinType</i>	<i>TBFinCode</i>	<i>Amount</i>	<i>Date</i>	<i>Notes</i>			
TNP	1	16000	1 May 2017	Agreed training price			
TNP	2	2000	1 May 2017	Agreed assessment price			
PMR	1	200	1 Jul 2017	Employer contribution for the training			
PMR	1	200	1 Oct 2017	Employer contribution for the training			
<b>Learning Delivery record – component aims</b>							
	<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>	<i>Standard code</i>
Component aim 1	1 May 2017	1 May 2018	20 Nov 2017	3	3	40	11
Maths component aim	1 May 2017	1 Feb 2018		1			<del>11</del> 5

<b>Learning Delivery record - new programme aim</b>							
	<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>	<i>Standard code</i>
Programme aim 2	21 Nov 2017	21 Nov 2018		1			5
<b>Learning Delivery FAM record</b>							
<i>FAM Type</i>		<i>FAM Code</i>		<i>Date from</i>		<i>Date to</i>	
Source of funding		105		Not returned		Not returned	
Apprenticeship contract type		2		21 Nov 2017		21 Nov 2018	
<b>Trailblazer Apprenticeship Financial record</b>							
<i>TBFinType</i>	<i>TBFinCode</i>	<i>Amount</i>	<i>Date</i>	<i>Notes</i>			
TNP	1	12000	21 Nov 2017	Agreed training price for new standard			
TNP	2	2000	21 Nov 2017	Agreed assessment price			
<b>Learning Delivery record – new component aim</b>							
	<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>	<i>Standard code</i>
Component aim 2	21 Nov 2017	21 Nov 2018		1			5

## Learner progresses from one apprenticeship framework level to another

180. If a learner 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 (see Section 3.7), and
  - One open and current programme aim for the Advanced-level Apprenticeship, including Apprenticeship contract type and Financial records
181. The Learning start date for the new programme aim must not overlap with the Learning actual end date for the completed programme aim.

## Learner transfers to a different provider

182. This guidance applies where an individual learner transfers to a different provider. For transfers of a number of learners due to contracting changes and changes in a provider's organisational structure such as mergers and take-overs, refer to the [Provider support manual](#).
183. A learner may transfer to different learning aims or continue the same learning aims with the new provider. The new provider will create new learning aims for the learner with new start dates and planned end dates as applicable. The new provider must record the new price for the programme using TBFinType = TNP and TBFinCodes 1 and 2 as applicable, the Apprenticeship contract type FAM must also be recorded.
184. Table 6 contains guidance for the scenario where a learner is transferring to a different programme with a different provider. Table 7 contains guidance for the scenario where a learner is transferring to the same programme with a different provider.
185. When a learner leaves to transfer to a different provider, all of their learning aims must be closed and the Date applies to field on any Apprenticeship contract type FAM records updated to match the Learning actual end date. If applicable, record repayments of employer co-investment using TBFinType = PMR and TBFinCode = 3.

**Table 6: Recording a transfer to a different programme with a different provider**

### Closing aims

Field name	Data returned
Completion status	3
Learning actual end date	Date of the last learning activity for the programme
Withdrawal reason	2
Outcome	3
Outcome grade	Data not returned

### Recording new aims after a transfer to a new provider

Field name	Data returned
Learning start date	Date on which the learner starts the new learning aim
Original learning start date	Data not returned
Learning planned end date	Planned end date for the new programme
Funding adjustment for prior learning	Proportion of the English or maths aim still to be delivered (if applicable)
Restart indicator (FAM)	Data not returned

**Table 7: Recording a transfer to the same programme with a different provider**

**Closing aims**

Field name	Data returned
Completion status	3
Learning actual end date	Date of the last learning activity for the aim
Withdrawal reason	2 or 7 (as applicable)
Outcome	3
Outcome grade	Data not returned

**Recording new aims after a transfer to a new provider**

Field name	Data returned
Learning start date	Date on which the learner restarts the aim
Original learning start date	Data returned if known
Learning planned end date	New planned end date for the aim
Funding adjustment for prior learning	Proportion of the English or maths aim still to be delivered (if applicable)
Restart indicator (FAM)	Use code RES1

**5.7.3 Recording restarts (without an agreed break in learning)**

186. 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 returned to learning on the same programme or aim(s).
187. When the learner withdraws, their learning aims must be closed as in Table 1, and you must record an appropriate Withdrawal reason.
188. If the learner later returns to learning on an aim or programme, then new aims must be created as in Table 8. The original learning aims must not be reopened.

**Table 8: Recording new aims when a learner restarts learning without an agreed break**

Field name	Programme aim	Component 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	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 English or maths aim still to be delivered (if applicable)
Restart indicator (Learning Delivery FAM)	Use code RES1	Use code RES1

**5.8 Deleting records**

189. Erroneous records can be deleted from data held by the SFA by sending a file with the erroneous Learner and Learning delivery records removed from the file.
190. 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.
191. You should keep a record of any deletions.

## Section 6 Field collection requirements

192. 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).
193. The codes given in the tables below are indicative only and apply to Funding model 36 apprenticeship programmes. You should be aware that there may be circumstances where an alternative code applies to a particular apprentice.
194. Some of the fields listed in the tables below are only required in certain circumstances.

**Table 9: 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	<b>Learner FAM</b>
Unique learner number	Education Health Care plan
Family name	National learner monitoring
Given names	<b>Learner Employment Status</b>
Date of birth	Employment status
Ethnicity	Date employment status applies
Sex	Employer identifier
LLDD and health problem	<b>Employment Status Monitoring</b>
National Insurance number	Self employment indicator
Prior attainment	Employment intensity indicator
<b>Learner Contact</b>	Length of unemployment
Postcode prior to enrolment	Length of employment
Current address line 1-4	Benefit status indicator
Current postcode	Previous education indicator
Telephone number	Small employer
Email address	<b>Learning Delivery (see Table 10)</b>
<b>Learner contact preference</b>	<b>Learning Delivery FAM (see Table 11)</b>
Restricted use indicator	<b>Trailblazer apprenticeship financial record (see Table 12)</b>
Preferred method of contact	

**Table 10: 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:																	
	<table border="1"> <thead> <tr> <th>Code</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>2</td> <td>Advanced-level Apprenticeship</td> </tr> <tr> <td>3</td> <td>Intermediate-level Apprenticeship</td> </tr> <tr> <td>20</td> <td>Higher Apprenticeship – level 4</td> </tr> <tr> <td>21</td> <td>Higher Apprenticeship – level 5</td> </tr> <tr> <td>22</td> <td>Higher Apprenticeship – level 6</td> </tr> <tr> <td>23</td> <td>Higher Apprenticeship – level 7+</td> </tr> <tr> <td>25</td> <td>Apprenticeship standard</td> </tr> </tbody> </table>		Code	Description	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
Code	Description																	
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 SFA	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 SFA	Not required unless requested by the SFA																
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 11: 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

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 12: Trailblazer apprenticeship financial record (Programme aim only)**

Field name	Definition
Trailblazer 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>
Trailblazer financial code	Identifies the type of TNP or PMR records
Trailblazer financial record date	The date associated with the financial record
Trailblazer 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.

Trailblazer financial type	Trailblazer 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