Traineeship qualification achievement rates technical specification 2020 to 2021

Version 1: May 2021

Contents

Introduction and purpose of the document

1.   This draft document provides technical information about how we process information provided in the Individualised Learner Record (ILR) data collection to produce the new traineeships qualification achievement rates (QAR) dataset.

2.   This dataset produces the traineeship 2020 to 2021 QAR products. This document also provides information about how we generate the information in the QAR dashboard.

3.   Please read this document alongside the ILR standard file specifications and reference data documents and the 2020 to 2021 QAR business rules.

4.   This document is a draft version as this is the first time that we have released the technical details for the Traineeships QAR. We will update this document in mid-2021 once providers and software suppliers have had time to digest and review the contents.

5.   If you have any feedback on this document, please email the service desk, and ask them to assign to the 'Business Operations QAR' resolver group.

Understanding the terminology

6.   The terms 'we' and 'ESFA' refer to the 'Education and Skills Funding Agency' and associated staff.

7.   When we refer to 'you' or 'providers', this includes colleges, sixth forms, training organisations, local authorities and employers that receive funding from us to deliver education and training.

Traineeship QAR methodology

8.   The traineeship QAR methodology has 3 measures – one programme level QAR and 2 component level QARs ('English and maths' and 'Flexible learning').

- the programme level QAR identifies whether the learner has progressed onto a positive outcome following their traineeship
- the component level QARs are identical to the methodology used in the 2018 to 2019 education and training QAR data set for traineeship component aims. We have excluded all traineeship delivery from the education and training QAR

We will not use historical trend data (presented in your traineeship dashboard and data extracts) for performance management purposes.

9.	We base the programme level QAR on the hybrid end year. The hybrid end year is the latter of:

- the programme actual end year
- the outcome start year
- the planned end year
- the reporting year

We base the component level QAR hybrid end year on the latter of:

- the actual end year of a learning aim
- the planned end year of a learning aim
- the reporting year

We include the reporting year to capture those overdue continuing learning aims, overdue planned breaks or late completions recorded in the following academic year (up to R04). See paragraph 40 for further details on how we calculate the hybrid end year.

10.	The learning aims included in the 2020 to 2021 QAR are those with a hybrid end year of 2020 to 2021.

11.	There can be a delay between completing a learning aim and the notification of the achievement. To account for this delay and ensure all relevant leavers are included, we use information from the 2021 to 2022 R04 ILR return to identify learning aims with a planned end date in 2020 to 2021. If you update records in your 2021 to 2022 R04 return that you submitted in your 2020 to 2021 R14 return, then we will use the R04 record to determine your QAR.

Traineeship definitions

12.	We identify learning aims where the **Programme Type** is 24 (Traineeship)

13.	We identify programme aims as having a positive outcome if the record has an associated destination or progression record, with an outcome of

- EDU 2 (Education – Apprenticeship)
- EDU 4 (Education – Other FE* (Full-time))
- EDU 5 (Education – Other FE* (Part-time))
- EMP 1 (In Paid Employment – In paid employment for 16 hours or more per week)
- EMP 3 (In Paid Employment – Self-employed)
- EMP 4 (In Paid Employment - Self-employed for 16 hours or more per week)

Exclusions from traineeship QARs

14.   The [business rules](#) describe how we calculate the QARs, and which learning aims will not be included in the QAR calculations.

15.   We exclude some learning aims from QARs to ensure the results are more credible and appropriate. The reasons include (and this is not an exhaustive list):

- if we do not fund the qualification
- if it is affected by circumstances where we have agreed an exception (for example, if the learner is transferred to a new provider due to intervention from us)

16.   The table below describes the scenarios where we exclude learning aims. The definition of the derived variables below are in the [ILR standard file specifications and reference data documents](#).

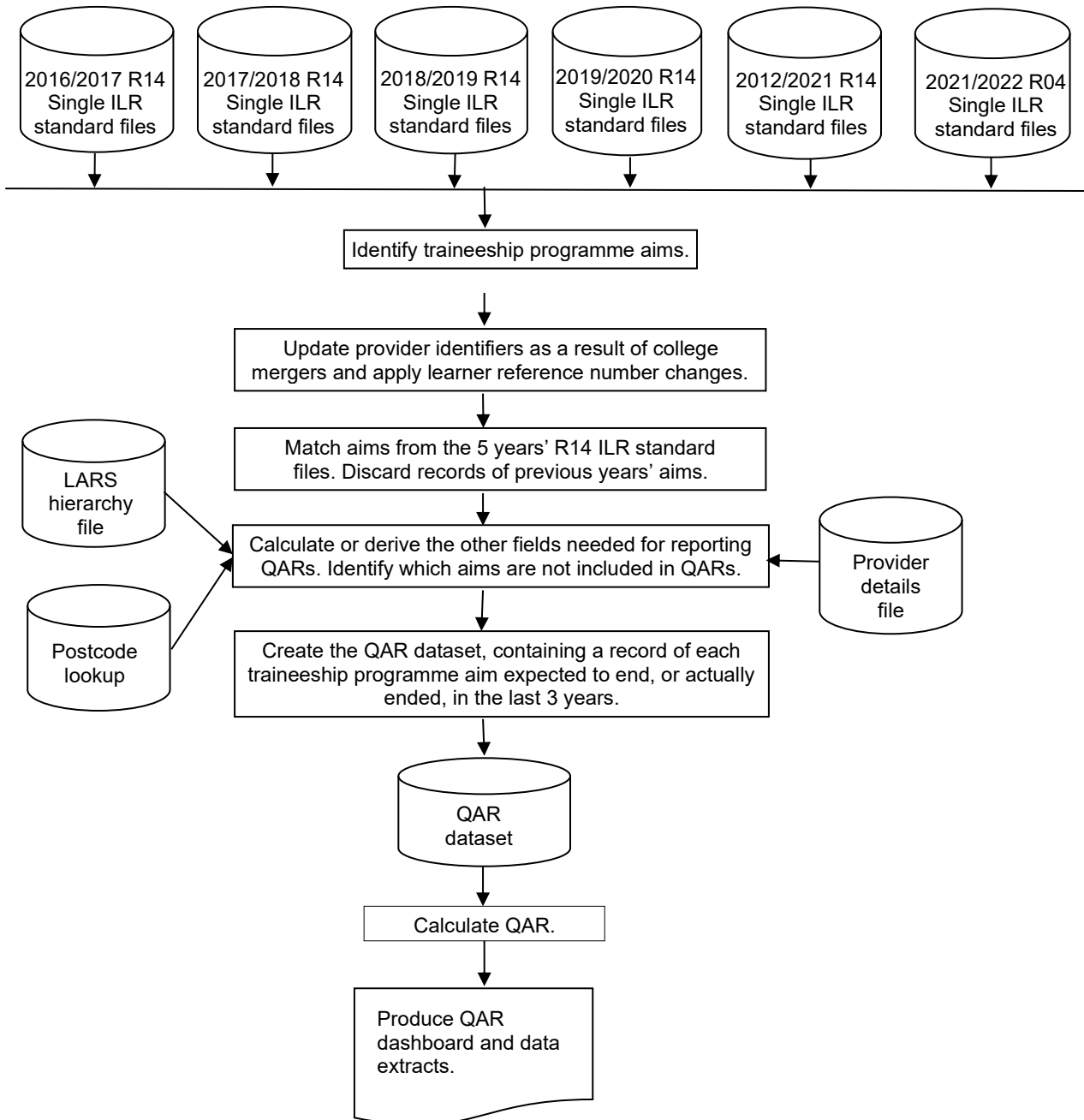| Description	Rules for identifying the excluded aim
A learner has transferred to a new provider due to a college merger.	Aims where the **Withdrawal Reason** is 47 (Learner has transferred to another provider due to a college merger), and the **Learning Actual End Date** is less than the **Learning Start Date** on the new UKPRN (matching on Unique Learner Number). The **Learning Start Date** on the new UKPRN must be within 30 days or less than the **Learning Actual End Date** on the original UKPRN.
Learning aims where the learner has transferred to a different aim with the same provider.	Aims where: • the Completion Status is 3 (Learner has withdrawn from the learning activities leading to the learning aim); and • the Withdrawal Reason is 40 (Learner has transferred to a new learning aim with the same provider); and • a new aim is recorded (matching on Unique Learner Number and UKPRN) with a **Learning Start Date** that is 120 days or less after the **Learning Actual End Date** of the original aim.
Learning aims where the learner has temporarily withdrawn from the aim due to an agreed break in learning.	Aims where the **Completion Status** is 6 (Learner has temporarily withdrawn from the aim due to an agreed break in learning). Under certain circumstances, we do not exclude learning aims where the learner has temporarily withdrawn from the aim due to an agreed break in learning. See paragraphs 27 to 34.
Learning aims where a learner has transferred to a new provider because of intervention from us.	Aims where the **Withdrawal Reason** is 7 or 41 (Learner has transferred between providers due to intervention by or with the written agreement of the Education and Skills Funding Agency **OR** Learner has transferred to another provider to undertake learning that meets a specific government strategy).

Description	Rules for identifying the excluded aim

Learning aims where the learner has withdrawn from the learning aim within the funding qualifying period, and the learning aim is not achieved.
 	
We exclude learners who restarted with the same provider in this exclusion rule, as the original instance of learning will have passed the funding qualifying period.
	Aims where:
	• the planned duration is 168 days or more
	• the actual duration is less than 42 days
	• the **Completion Status** is 3 (Learner has withdrawn from the learning activities leading to the learning aim)
	• the **Restart Indicator** is 0 (Not a Restart)
	
	Aims where:
	• the planned duration is 168 days or more
	• the actual duration is less than 42 days
	• the **Completion Status** is 3 (Learner has withdrawn from the learning activities leading to the learning aim)
	• the **Restart Indicator** is 1 (Restart); and
	    o the new Learning Start Date is greater than the original Learning Actual End Date of the apprenticeship on the original UKPRN
	
	Aims where:
	• the planned duration is between 14 and 167 days
	• the actual duration is less than 14 days
	• the **Completion Status** is 3 (Learner has withdrawn from the learning activities leading to the learning aim)
	• the **Restart Indicator** is 0 (Not a Restart)
	
	Aims where:
	• the planned duration is between 14 and 167 days
	• the actual duration is less than 14 days
	• the **Completion Status** is 3 (Learner has withdrawn from the learning activities leading to the learning aim)
	• the **Restart Indicator** is 1 (Restart); and
	    o the new Learning Start Date is greater than the original Learning Actual End Date of the apprenticeship on the original UKPRN
	
	There is no qualifying period for aims with a planned duration of less than 14 days.
	
	The planned duration of the aim, in days, is the difference between the **Learning Start Date** and the **Learning Planned End Date**.
	
	The actual duration of the aim, in days, is the difference between the **Learning Start Date** and the **Learning Actual End Date**.

Learning aims that have not been funded by us, or not financed by an advanced learner loan	Aims where if **D_FEFund** is not 1 (ESFA formula funding), not 2 (ESFA non formula funding).

Description	Rules for identifying the excluded aim
Supported internships	Aims where the **Learning Aim Reference** is 'Z0002347'
Work experience or work placement aims	Aims where the **Learning Aim Reference** is 'Z0007834' to 'Z0007838', or 'ZWRKX001' to 'ZWRKX009'.
Changes to records previously submitted 2 or more years ago. The example given is for aims reported in 2019 to 2020. The exclusion also applies to aims reported in 2018 to 2019 or 2017 to 2018 that meet the same conditions for the corresponding earlier years.	For aims reported in the 2019 to 2020 ILR, that were previously reported in the 2017 to 2018 ILR or earlier, and not reported in the 2018 to 2019 ILR. Where • the actual or planned end dates are not in 2019 to 2020 or later, • the record was first reported complete in the 2019 to 2020 ILR The record is not an update to a learning aim, which would otherwise have been an overdue planned break, counted in the 2019 to 2020 hybrid end year.
Component aims that learners could not complete as they progressed to further learning	Traineeship Component aims where the learner has one of the following in the Learner Destination and Progression entity: • EDU 2 (Education – Apprenticeship) • EDU 4 (Education – Other FE* (Full-time)) • EDU 5 (Education – Other FE* (Part-time)) • EMP 1 (In Paid Employment – In paid employment for 16 hours or more per week) • EMP 3 (In Paid Employment – Self-employed) • EMP 4 (In Paid Employment - Self-employed for 16 hours or more per week) And the Learning Planned End Date of the component aim is greater than the Outcome Start Date of the progression record.
SILR exclusion	Aims in the QAR business rules that do not meet the definition of a Traineeship Programme or Traineeship Component aims.

Processing standard files

Process flow diagram

17.   This flow diagram below shows how ILR information for multiple funding years is processed to produce the QARs dataset, which is the source of the information used for the QAR dashboard.

```
┌──────────────┐ ┌──────────────┐ ┌──────────────┐ ┌──────────────┐ ┌──────────────┐ ┌──────────────┐
│ 2016/2017 R14│ │ 2017/2018 R14│ │ 2018/2019 R14│ │ 2019/2020 R14│ │ 2012/2021 R14│ │ 2021/2022 R04│
│  Single ILR  │ │  Single ILR  │ │  Single ILR  │ │  Single ILR  │ │  Single ILR  │ │  Single ILR  │
│ standard files│ │ standard files│ │ standard files│ │ standard files│ │ standard files│ │ standard files│
└──────────────┘ └──────────────┘ └──────────────┘ └──────────────┘ └──────────────┘ └──────────────┘
```

Identify traineeship programme aims.

Update provider identifiers as a result of college mergers and apply learner reference number changes.

Match aims from the 5 years' R14 ILR standard files. Discard records of previous years' aims.

LARS hierarchy file

Postcode lookup

Calculate or derive the other fields needed for reporting QARs. Identify which aims are not included in QARs.

Provider details file

Create the QAR dataset, containing a record of each traineeship programme aim expected to end, or actually ended, in the last 3 years.

QAR dataset

Calculate QAR.

Produce QAR dashboard and data extracts.

Processing learner reference number changes

18.   Providers assign the Learner reference number and we use this number to match aims across years.

19.   If, for any reason, a learner's Learner reference number changes, either within a funding year or between years, then you must record this using the Learner reference number in previous year field.

20.   We use the information in the Learner reference number in the previous year field to change the Learner reference numbers for previous years to the latest Learner reference number. We keep the original Learner reference number in the QAR dataset in the LearnRefNumber_orig field.

21.   If you do not return the Learner reference number in previous year field when there has been a change, then the process of matching aims does not work correctly. This creates 2 records in the QAR dataset for the same aim: one using the old Learner reference number and one using the new Learner reference number. Where the aim from the earlier year's ILR file does not have any achievement data, this will reduce your QAR.

22.   If you use the Learner reference number in previous year field when there **has not** been a change in the learner's Learner reference number, then this will prevent us from correctly matching that learner's aims.

23.   You **must** remove the data from this field between years, as detailed in the [ILR specification](), otherwise the learners will not match correctly.

> **Example:**
> Learner A has a Learner reference number of 'LNA1234' in 2018 to 2019. Due to a change in the provider's management information system, Learner A has a new Learner reference number in 2019 to 2020 of 'LRA9876'. For the QAR to match correctly, you must record this as follows:
>
> - In 2018 to 2019:
>   - Learner reference number = LNA1234
>   - Learner reference number in previous year is not returned
>
> - In 2019 to 2020:
>   - Learner reference number = LRA9876
>   - Learner reference number in previous year = LNA1234
>
> - In 2020 to 2021:
>   - Learner reference number = LRA9876
>   - Learner reference number in previous year is not returned (2019/20 QAR cannot match if reported in R04)

Matching learning aims across years

24.   Many learning aims take more than one year to complete, meaning that the same learning aims for a learner can appear on more than one ILR file.

25.   We use various combinations of variables to ensure we match the correct records across years. We match the UKPRN, Learner reference number, Aim reference and Programme type together with the following combinations, in the following sequence.

- Learning start date, Learning planned end date, Learning actual end date
- Learning start date and Learning planned end date
- Learning start date and Learning actual end date
- Learning start date

26.   Once we have matched the learning aim records, we discard those from previous years, leaving just the latest information for each learning aim in the QAR dataset.

Identifying overdue continuing aims and planned breaks

27.   Continuing learning aims (with a Completion status of 1 'The learner is continuing or intending to continue the learning activities leading to the learning aim') in the R14 ILR return for a funding year, that do not have a corresponding record in the following funding year, are treated as a withdrawal.

For example, if the year you submitted the record on the ILR is '2019/2020' and there is no corresponding record in 2020 to 2021 R14 ILR return:

- the hybrid end year (P_Hybridendyr) is set to 2020; and
- P_Count is set to 1; and
- P_Ach is set to 0

28.   Aims where the learner is on a planned break (aims with a Completion status of 6 'Learner has temporarily withdrawn from the aim due to an agreed break in learning), are treated as a withdrawal where:

- they do not have a corresponding restart record in the same funding year
- they do not have a corresponding restart record in the following funding year
- if the planned break was recorded in the ILR R14 return for funding year 2018 to 2019, they do not have a corresponding restart record by the R04 ILR return of the funding year 2021 to 2022

29.   An ILR record is a restart record if it has a Learning Delivery Funding and Monitoring Type of 'RES' with a Learning Delivery Funding and Monitoring Code of 1 (Learning aim restarted).

30.   We match restart records to planned break records by matching on UKPRN, Learner reference number and Learning aim reference where the Original learning start date on the restart record matches the Learning start date or Original learning start date of the planned break record; this allows for situations where the planned break was itself a restart.

31.   For example, an aim where the learner is on a planned break, that is submitted in the 2018 to 2019 ILR (YearAimSubmitted is '2018/19'), has a corresponding restart record if:

- the UKPRN, Learner reference number and Learning aim reference number on the planned break record is the same as the UKPRN, Learner reference number and Learning aim reference number on a restart record; and
- either the Learning start date or the Original learning start date on the planned break record is the same as the Original learning start date on the restart record; and
- the restart record was submitted in the 2018 to 2019, 2019 to 2020 or 2020 to 2021 ILR (YearAimSubmitted is '2018/19', 2019/20', or '2020/21')

32.   If an aim where the learner is on a planned break that is submitted in the 2018 to 2019 ILR (YearAimSubmitted is '2018/19'), **does not have** a corresponding restart record:

- the reporting year is set to one year after the later of the expected end year or actual end year; and
- P_Count is set to 1; and
- P_Ach is set to 0

33.   An aim where the learner is on a planned break, that is submitted in the 2019 to 2020 ILR (YearAimSubmitted is '2019/20'), **has** a corresponding restart record if:

- the UKPRN, Learner reference number and Learning aim reference number on the planned break record is the same as the UKPRN, Learner reference number and Learning aim reference number on a restart record; and
- either the Learning start date or the Original learning start date on the planned break record is the same as the Original learning start date on the restart record; and
- the restart record was submitted in the 2019 to 2020 or 2020 to 2021 ILR, or the 2021 to 2022 R04 ILR (YearAimSubmitted is '2019/20, '2020/21' or '2021/22')

34.   Where an aim where the learner is on a planned break that is submitted in the 2019 to 2020 ILR (YearAimSubmitted is '2019/20'), **does not have** a corresponding restart record:

- the reporting year is set to one year after the later of the expected end year or actual end year; and
- P_Count is set to 1; and
- P_Ach is set to 0

Qualification achievement rate calculations

35.   We use the following fields from the QAR dataset to calculate QARs.

- **Hybrid end year (P_Hybridendyr)** - This field is later of the programme actual learning end year (P_Actendyr), the expected learning end year (P_Expendyr), the outcome start year (P_Outstartyr), or the reporting year.
- **P_Count** - This field indicates whether a learning aim has ended (a Learning actual end date is present) or it is an overdue continuing learning aim or an overdue continuing planned break
- **P_Ach** - This field indicates whether a learning aim has been achieved (achieved learning aims have an Outcome of 1) and moved onto positive progression within 6 months of the programme actual end date (learners with a record in the Learner Destination and Progression entity that shows positive progression)

36.   For each funding year the QAR percentage is:

$$\frac{\text{Number of learning aims that have achieved}}{\text{Number of learning aims that have ended}} \times 100$$

37.   For each hybrid end year (P_Hybridendyr) the QAR percentage is:

$$\frac{\text{Number of learning aims where P\_Ach is 1}}{\text{Number of learning aims where P\_Count is 1}} \times 100$$

Further Information

38.   If you need more information you can phone the service desk on 0370 267 0001 or use the online enquiry form. Please provide a detailed explanation of your query.

Contents of the QAR dataset

39.　　Three reference files are used in some of the derivations:

　　a)　　The 2020/2021 LARS Hierarchy file – this file holds the learning aim data from the Learning Aims Reference System (LARS), as at the hard close of the 2020 to 2021 ILR data collection (21 October 2021)

　　b)　　The 2020/2021 Provider Details file – this file holds providers' details from the Provider and Organisation Information Management System (PIMS), as at 31 July 2021

　　c)　　We obtain the lookup used to determine the delivery region and delivery local authority of a delivery location postcode from the National Statistics Postcode Lookup (UK) May 2021. This will be available to download from the Office of National Statistics website in May 2020

We will publish a breakdown of what fields we will include in your traineeship QAR data set in Autumn 2021.

Calculating the hybrid end year field in the QAR dataset

40.   To understand the logic that hybrid end year uses, it is important to highlight the key QAR derived variables that we use to calculate the hybrid end year, and then how we use these in the calculation. The following examples relate to the 2020 to 2021 QAR data set and we refer to this as the current QAR.

41.   The key derived variables are:

- Programme Actual End Year – this is the same as **LearnActEndDate** in the ILR standard files

- Outcome Start Year – this is the same as **OutStartDate** in the Learner Destination and Progression entity in the ILR standard files

- Planned End Year – this is the same as **LearnPlanEndDate** in the ILR standard files

- Reporting Year – this refers to the academic year you submitted the learning aim to us. If the academic year is after the current QAR year, then we set this variable to 2020.5 (for example, if you report the learning aim in 2021 to 2022)

- Overdue Continuing Aim

- Overdue Planned Break

- Year First Reported Completed – this refers to the academic year you first reported the record with a Completion status of code 2 ('Complete') or 3 ('Withdrawn'). If the academic year you first reported the record with a Completion status of code 2 or 3 is after the current QAR year, then we set this variable to 2019.5 (for example, if you report the learning aim in 2021 to 2022)

42.   We then implement 2 steps to calculate the hybrid end year:

Step 1

43.   We assign all records an initial value in step 1, based on the Programme Actual End Year, Outcome Start Year and Planned End Year derived variables. The table below explains the conditions we use to set the values. If the data does not meet the first condition, then we apply the second condition. If the data does not meet the second condition, then we apply the third condition.

Condition	Outcome	Example
If the programme actual end year is unpopulated…	…we set hybrid end year to 2020.5.	
If the planned end year is greater than or equal to the programme actual end year and outcome start year…	…we set hybrid end year to equal the planned end year.	The programme actual end date is 31/10/2019 and the outcome start date is 01/04/2020. The planned end date is 31/08/2020. The programme actual end year is 2020 and the outcome start year is 2020. The planned end year is 2021. 2021 is greater than 2020, so the hybrid end year is set to 2021.
If the outcome start year is greater than or equal to the programme actual end year…	…we set hybrid end year to equal the outcome start year.	The programme actual end date is 01/06/2020. The outcome start date is 31/08/2020. The programme actual end year is 2020. The outcome start year is 2021. 2021 is greater than 2020, so the hybrid end year is set to 2021.
If the programme actual end date is between February and July, and there is no positive outcome within 6 months…	…we set hybrid end year to the equal following year.	The programme actual end date is 01/05/2020. There is no positive outcome between the actual end date and 01/11/2020. The programme actual end year is 2020. As there is no positive outcome before 2021, the hybrid end year is set to 2021.
Else…	…we set hybrid end year to equal the programme actual end year.	

Step 2

44.   We use the output from step 1 for step 2, when we account for the other derived variables.

Condition	Outcome	Example
If the record is marked as an overdue continuing aim…	…we set the hybrid end year to the maximum value recorded in the programme actual end year, outcome start year, planned end year and reporting year derived variables.	We mark the record as an overdue continuing aim, the reporting year is 2019, the actual end years are unpopulated and the planned end year is 2021. The hybrid end year is set to 2021.
If the record is marked as an overdue planned break and the hybrid end year from step 1 is after the current QAR year…	…we set the hybrid end year to 2021.5.	
If the record is marked as an overdue planned break and the hybrid end year from step 1 is **not** after the current QAR year…	…we set the hybrid end year to the hybrid end year from step 1 plus one year.	The record is marked as an overdue planned break, the planned end year is 2020 and the actual end year is 2019. The hybrid end year from step 1 is 2020, the hybrid end year in step 2 is set to 2020plus one year, so the hybrid end year is set to 2021.
If the year first reported completed is after the hybrid end year from step 1…	…we set the hybrid end year to equal the first year reported complete.	The planned end year is 2021, the actual end year is 2020, the year first reported complete is 2022. The hybrid end year from step 1 is 2020, the year first reported complete is after this, so the hybrid end year is set to 2021.
Else…	…hybrid end year is set to the value from step 1.	

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