



Education & Skills  
Funding Agency

# **Provider Data Self- Assessment Toolkit (PDSAT)**

**Reviewing PDSAT reports for the 2018 to  
2019 funding year: User guide**

**July 2019**

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## Introduction

The Provider Data Self-Assessment Toolkit (PDSAT) enables users to identify potential issues with the data recorded in ILR data returns. The PDSAT does not produce definitive results. It provides indicative reports based on areas of concern and risk. These reports may contain potential data anomalies that require further investigation for clarification and rectification. Such investigation requires careful review of the data contained within the reports.

This guide is to assist Education and Skills Funding Agency (ESFA) colleagues, particularly Provider Market Oversight: Assurance (PMOA) and other auditors, and other PDSAT users in performing detailed data review of the suite of PDSAT reports used in assurance reviews of colleges and training organisations. It lists the PDSAT reports together with a description of each report's purpose and techniques for review of each report. Note that this is not an exhaustive list of techniques and reviewers may wish to carry out additional checks of their own, whilst being mindful of the purpose of each report.

This guide relates to PDSAT reports output from ILR data for the funding year from August 2018 to July 2019, referred to in this guide as "2018/19".

This guide does not explain how to use the PDSAT software. You can access the PDSAT User Guide in the *Documentation* section of the *Settings* tab within PDSAT itself.

## Downloading PDSAT

You can download the PDSAT software using the link on [GOV.UK](#).

## New developments

We have introduced cross-ILR functionality in this year's PDSAT. This enables users to import two ILRs which PDSAT will compare, identify matched and unmatched records and output a series of reports.

See the [Cross-ILR reporting](#) section for more information.

## Using Excel

This guide assumes that anyone reviewing PDSAT reports has a working knowledge of using Microsoft Excel.

## Individualised Learner Record (ILR)

To review PDSAT reports, users must have a good working knowledge of the ILR, including field names and labels and the range of possible values, their meanings and their impact on funding. This guide assumes that the reader has this knowledge.

For a full description of each ILR field, values and guidance, refer to the [Specification of the Individualised Learner Record for 2018 to 2019](#).



## Key messages

### Input files

PDSAT accepts inputs in the form of both ILR XML files and by connecting directly to the Funding Information System (FIS) database. PDSAT does not run any validation routines on ILR XML files and so we strongly recommend that you validate ILR XML files before importing them to PDSAT. Failure to do so could result in invalid records appearing in PDSAT report output.

PDSAT does not incorporate a funding calculator and so no funding values are included in PDSAT report output where an ILR XML file is input. Despite this funding limitation, an ILR XML input is useful where you do not have FIS available. The reports that are output should contain the same records as they would when using the direct FIS database connection, assuming that you have used a valid ILR XML file.

In the report review notes below, we have identified reports that PDSAT cannot run with an ILR XML input. The reason for this is that such reports depend on funding values calculated during the processing of the ILR file in FIS. PDSAT can run all reports when using an ILR imported using the direct FIS database connection.

### Apprenticeships (from 1 May 2017)

Due to the introduction of the apprenticeship levy, all new apprenticeship starts from 1 May 2017 are funded according to the rules governing the new apprenticeship programme. As a result, and where applicable, PDSAT report output includes records relating to provision delivered under this new apprenticeship programme, including a series of new reports.

Please note that where earnings information appears in PDSAT report output for the new apprenticeship programme, you must treat it as indicative only. This is because whilst ILRs processed through FIS are subject to an apprenticeship earnings calculation, FIS cannot access apprenticeships earnings history and commitments matching data, required for actual earnings calculations. This means that ILR records that are unmatched to Apprenticeship Service data can appear in PDSAT report output.

Earnings for some elements of the new apprenticeship programme are calculated in a similar way to adult skills provision, such as funding for maths and English and learning support funding. Rather than being funded from employers' digital accounts or through co-investment, the ESFA funds these directly.

## Funding monitoring

Part of the ESFA assurance framework involves monitoring providers' ILR data. The ESFA's [Financial Assurance: Monitoring the funding rules for post-16 funding for 2019 to 2020](#) publication lists the areas that we are monitoring during 2018/19.

Providers must review their own data in the monitored areas. As well as using their own management information systems (MIS), they can do this either by using the reports available on the Hub or by using the wide range of reports in PDSAT.

Each monitoring area in the plan is numbered and in the report review notes below, we have identified reports that relate to items in the plan for easy reference.

Note that some of the reports that complement the monitoring plan address other issues and have additional review notes to those relating to the monitoring plan.

## Report groupings

We have grouped the PDSAT reports according to the funding models relevant to the report output, using the following prefixes. Within each group, we have numbered the reports using a three-digit suffix.

### Adult and apprenticeship reports (19A- prefix)

PDSAT interrogates and outputs ILR records predominantly relating to learners and learning aims within the following funding models (FM):

- FM35 (Adult skills)
- FM36 (Apprenticeships (from 1 May 2017))
- FM81 (Other Adult): Specifically apprenticeship standards.

A small number of reports also output records relating to the following funding models:

- FM99 (Non-funded (No ESFA funding for this learning aim)): This predominantly relates to learning aims funded by Advanced Learner Loans
- FM70 (ESF).

These are all ESFA funded, except for elements of output relating to FM36, which are funded through employers' digital accounts or employer co-investment, and output relating to FM99, where learners are financed by an Advanced Learner Loan.

In the report review notes below, we have identified the funding models to which each of these PDSAT reports relate.

## **Young people (16 to 19 (excluding apprenticeships)) reports (19Y-prefix)**

PDSAT interrogates and outputs ILR records relating to learners and learning aims only within FM25 (16 to 19 (excluding apprenticeships)). Note that this document will refer to “16 to 19 provision” to mean 16 to 19 (excluding apprenticeships) provision.

## **Both adult and young people reports (19B- prefix)**

PDSAT interrogates and outputs ILR records that are not funding model dependent.

## **Cross-ILR reporting**

We have introduced the facility to compare any two ILRs and output a series of reports. These include funding reconciliation, field change listings, continuance and specific exception reports.

Cross-ILR functionality within PDSAT seeks to match learning aim records across two ILRs using 27 layers of matching criteria, in order to maximise the number of true matches. Once PDSAT has matched records, it identifies data changes between specific fields in the report output.

You can run cross-ILR reports using two ILRs for the same provider or for two different providers and for the same funding year or two different funding years. The availability of reports depends upon these combinations of ILRs. This is because it will be nonsensical to provide reports in certain circumstances. For example, there is no logic behind reconciling funding across funding years or between two providers.

Cross-ILR reports have the prefix 19X- and, due to the size of the report output, some reports are output to a separate Excel workbook.

On opening the file, you can run some VBA code that, as well as performing a recalculation, applies formatting to reports. This formatting makes visible identification of matched records easier through shading and highlights, in a reddish colour, values that have changed between ILR returns.

## **Report layout**

The reports contain header rows providing information relating to each report’s description, logic, implications and user notes, as well as file and version details. When PDSAT creates the reports, these rows are grouped and hidden in order to display more records.

If you wish to see the header rows, simply click on group number **2** in the top-left corner of the worksheet pane, below the toolbar or ribbon. To hide the header rows, click on group number **1**.

## Funding lines

Since providers submit a single ILR, funding lines that are both in scope and outside the scope of an assurance review can appear within the data returns. When reviewing PDSAT reports as part of an assurance review, you can normally start each report by filtering out all records that relate to funding lines outside the scope of the assurance review. There will be exceptions where you need to see all records irrespective of funding line, for example, reports with the 19B- prefix.

## Report selection

The Favourites feature in PDSAT allows you to create your own groups of favourite reports to facilitate ease of report selection. For assurance review purposes, simply run all reports.

The suite of [working papers](#) used by PMOA during assurance reviews includes the C1 working paper, which lists all the reports that PMOA reviews as part of the assurance review process. However, it is best to run all PDSAT reports because some of them are listing reports that identify sub-populations of learners and aims that meet specific criteria. These can be useful during assurance reviews where we identify funding errors that require 100% testing of a specific group of learners with the same characteristics.

## Testing

Some PDSAT reports will contain records that are likely to contain errors, requiring investigation and corrective action. The provider will need to review these reports in their entirety.

Other PDSAT reports are more indicative, identifying potential data anomalies that may result in funding errors. You can only confirm or clear these by learner file review. Start by selecting a small sample. In doing so, consider whether or not there are any files in the main substantive sample that can be used, thus reducing the extent to which additional samples need to be selected. However, ensure that you carry out sufficient testing of each area of concern to either clear or confirm any potential errors. Where you confirm errors, you must ensure that all records on the PDSAT report are checked, using the specific PDSAT reports as the population. Again, ask the provider to carry out a 100% self-audit of the specific population.

## Recording review outcomes

PMOA auditors must use the C1 working paper to record the outcome of PDSAT review at report level. In addition, you can use the *User annotation* facility to record findings at learner or learning aim level in the rightmost column of most PDSAT reports. You can save user annotations within the PDSAT software (refer to the PDSAT *User Guide* for instructions on how to do this), enabling such annotations to be output to PDSAT reports generated from a different ILR.

## Features in PDSAT

PDSAT contains the following features:

- Funding period selection: The funding displayed in PDSAT report output is year-to-date total of monthly transactions, up to the funding period selected (1, 2, ..., 11, 12 relating to August, September, ..., June, July respectively). For assurance review purposes, you should ensure that the funding period selected is the latest completed period at the point of running reports. The funding period selection does not affect the funding displayed in 16 to 19 report output.
- Split reports by subcontractor/partner UKPRN: You can set PDSAT to output only those reports that contain records relating to specific subcontractors by preselecting the partner UKPRN value(s) for which you want to run PDSAT reports.

Access these features in the *Reports* and *Sampler* tabs.

- Zero record reports: You can set PDSAT to output only those reports that contain any records, reducing the number of reports output.
- Reduced field output: The full PDSAT report output contains a significant number of ILR fields and derived variables. Whilst all of this information is useful, it may not be necessary to have all of this information, depending on the reason for running reports. PDSAT now contains the facility to run reports containing fewer output fields, reducing processing time and the size of the output file.
- Log file: PDSAT now maintains a log file of all actions that PDSAT performs. Should you encounter any problems with PDSAT that require assistance from the PDSAT helpdesk, you can supply the log file to the helpdesk, allowing it to identify and fix the cause of the problem much more easily.

Access these features in the *Settings* tab within PDSAT.

## Terminology

ESFA funding rules and regulations refer to individuals accessing learning using various labels such as “learners”, “students”, “individuals” and “apprentices”. They also refer to providers of further education (FE) and training in various ways such as “providers” and “institutions”. To maintain consistency in this document, we will use the terms “learners” and “providers” throughout.

Where report output can contain apprenticeship programmes within any of the three funding models, we will use the term “carry-in apprenticeships” to specify apprenticeship frameworks or standards starting prior to 1 May 2017, within FM35 or FM81.

For Advanced Learner Loans, we will use the term “loans”. Similarly, for Advanced Learner Loans Bursary, we will use the term “loans bursary”.

## Documentation references

All references to the following documentation relate to the latest versions available at the time of release of this document.

The documents that set out the following ESFA funding rules are available on the GOV.UK website.

- [Carry-in apprenticeship frameworks and standards \(for starts prior to 1 May 2017\)](#)
- [Adult education budget](#)
- [Apprenticeship programme \(for starts from 1 May 2017\)](#)
- [Advanced Learner Loans](#)
- [Young people \(16 to 19\)](#)

The documents that set out the technical requirements of the ILR and related guidance for completion of the ILR are available on the GOV.UK website:

- [Specification of the Individualised Learner Record](#)
- [Provider support manual](#)

## Review notes: Both adult and young people ('B') reports

These reports are not dependent on the funding model of the records that are interrogated and output. As a result, output them for all funding assurance reviews.

### 19B-001: Report logic by report

*Lists all PDSAT reports and records the title, description, logic and assurance review implications for each report.*

This is a simple report listing and requires no review.

### 19B-002: Possible duplicate learners

*Lists all instances where the same learner details appear for more than one learner record (i.e. different learner reference numbers) in the provider's data return.*

*PDSAT compares the values of family name, date of birth, gender, postcode prior to enrolment, National Insurance number and unique learner number and categorises learners by match type depending on the combination of matching values.*

*The table shows the different match types and the fields that contain the same value for more than one learner record in the provider's ILR data return.*

	Match type							
Field	1	2	3	4	5	6	7	8
Family name	✓	✓	✓	✓				
Date of birth	✓	✓	✓	✓	✓	✓		
Sex	✓	✓	✓	✓	✓	✓		
Postcode prior to enrolment	✓	✓			✓	✓		
National Insurance number	✓		✓		✓		✓	
Unique learner number								✓

*Types 1 to 7 seek to match different combinations of five fields and each subsequent type will exclude those already identified in an earlier match type. Clearly, type 1 is the strongest match and type 7 is the weakest match.*

*Type 2 (and possibly type 4) could include twins as possible duplicates, as the matching values are likely to be the same in this instance.*



*Matches of types 5 and 6 will have different names and so it may not be evident at first which are the possible duplicates.*

Records that relate to potentially duplicated learners may not be adjacent. For types 1 to 6, the date of birth is common to potentially duplicated records so find each group of records with the same date of birth and check whether any remedial action appears necessary.

This report could identify learners for which the provider has allocated two or more learner reference numbers. Learners must retain the same learner reference number for any period of learning and the provider should avoid changes to the learner reference number between years for continuing learners. If it had to unavoidably allocate different learner reference numbers to the same learner (for example, due to a change in MIS), it may be that the provider has, or should have, recorded the value used in the previous year in the ILR field *Learner reference number in previous year*. You should check why the provider used different learner reference numbers and instruct the provider to use the *Learner reference number in previous year* field if applicable<sup>1</sup>.

Under no circumstances should you ask the provider to respond to your review until you have flagged learners that appear to be twins. Check whether any of the potential duplicates appear to be twins and flag them as such. The provider may have already done this and if it has sent you any of its own reviews of PDSAT reports, check if it has annotated this report accordingly.

Test all Type 1 and 2 duplicates and, depending on volume, check all or a sample of Types 3, 4, 5 and 6 duplicates. Where you have identified a significantly disproportionate number of learners that appear to be twins, include all or some of them in your sample. Check enrolment documentation and/or learning agreements to confirm whether they are duplicated learners.

For Type 7 duplicates, where they are two different learners with the same NI Number, the provider must correct them. However, in many cases, individual learners identified have the same NI number but two different ULNs or learner reference numbers recorded. The provider must also correct such instances as these.

For Type 8 duplicates, where the provider has used the same ULN for more than one learner, it must correct them. This report can also identify learners with only one ULN but two distinct learner reference numbers. Providers must not allocate more than one learner reference number to the same learner in year and should avoid changing it

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<sup>1</sup> See the *Specification of the Individualised Learner Record for 2018 to 2019* for details of the *Learner reference number in previous year* ILR field.

across years, unless it is unavoidable, such as a change to its MIS. As above, instruct the provider to use the *Learner reference number in previous year* field if applicable.

### **19B-003: Possible duplicate or overlapping programmes and regulated learning aims**

*Lists all instances where multiple records of the same programme aim or regulated learning aim appear for the same learner in the provider's data return. In the case of programme aims, the report lists only those records with matching framework/pathway or standard codes.*

For each learner and records of the same learning aim, check the delivery dates to establish whether the learning aims are exact duplicates or contain some overlapping dates of delivery. In such instances, the provider will need to make the necessary corrections, either by removing duplicated learning aims or by correcting dates, according to the evidence held in the learner file. Where any duplicated learning aims are in funding model 25, check whether the number of planned hours includes any duplicated provision as these will also need correction.

### **19B-004: Possible duplicate or overlapping non-regulated learning aims**

*Lists all instances where multiple records of the same non-regulated learning aim appear for the same learner in the provider's data return.*

For each learner and records of the same learning aim reference number, check whether it is duplicated or overlapping provision, or whether the provider is actually delivering multiple separate episodes of the same non-regulated learning.

Where the provider is delivering multiple episodes of learning, check whether this is how the provider agreed with the learner to deliver the learning activity, particularly where each non-regulated learning aim contains a range of hours. If the agreement with the learner was to deliver a single learning aim over a longer period, rather than multiple shorter episodes of learning, there may be an over-claim of funding.

Where you identify errors, the provider will need to make the necessary corrections, either by removing duplicated learning aims or by correcting dates, or even non-regulated learning aims with different ranges or hours, according to the evidence held in the learner file. Where any duplicated learning aims are in funding model 25, check whether the number of planned hours includes any duplicated provision as these will also need correction.

## Review notes: Adult/apprenticeship ('A') reports

These reports predominantly contain records relating to learners and learning aims within funding model 35, relating to provision funded using adult skills funding methodology. You must output these for assurance reviews of apprenticeships, adult education budget and loans funded provision. In the notes below, we have labelled reports to show the respective funding model(s) reported.

### 19A-101: All adult skills funding model learners and learning aims

*Funding model: 35*

*Lists all adult skills funding model learners and their learning aims so that the user can filter on any specific learning aim(s).*

This is a complete listing of all learners and learning aims within the adult skills funding model (FM35). Review of this report is not required but the report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

There are bespoke checks that providers can carry out using this report as part of their routine data cleansing. For example, referring to the rules on financial contributions, they can check whether they are claiming the correct funding level<sup>2</sup> for different groups of learners by applying filters appropriately to relevant fields such as *Full or co-funding indicator*, *Benefit status indicator* and *Employment status on first day of learning*.

### 19A-102: All carry-in apprenticeship standards learners and learning aims

*Funding model: 81*

*Lists learners enrolled on apprenticeship standards programmes and their learning aims.*

This is a complete listing of all learners enrolled on apprenticeship standards programmes within FM81 and their component learning aims. Review of this report is not required but the report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

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<sup>2</sup> Government contribution table, page 23, *Adult education budget funding and performance management rules for the 2018 to 2019 funding year*.

## 19A-103: All learners and learning aims within the new apprenticeship programme

*Funding model: 36*

*Funding rules monitoring plan: FRM11*

*Lists learners enrolled on apprenticeship programmes starting on or after 1 May 2017, together with their learning aims.*

This is a complete listing of all learners and learning aims within the apprenticeships (from 1 May 2017) funding model (FM36). Note that individual learning aims may have multiple records where a learner moves from a levy-paying employer to a non-levy paying employer or vice versa.

The ESFA is monitoring the use of the ILR Employment Status Monitoring Type *SEM (Small employer)*, seeking to corroborate ILR data with data held by Companies House and other sources.

Whilst PDSAT cannot link to external data sources, providers can filter this report on *Small employer = 1* to identify all learners with employers that it has flagged as small employers. The provider can then ensure that it holds evidence to confirm that the employer meets the criteria for a small employer, according to the funding rules<sup>3</sup>.

Check whether the data indicates that the provider is delivering apprenticeship provision to its own employees. Using the [Employer Data Service database](#), look for the provider's Employer Reference Number(s) (ERN). For each ERN, filter on *Employer identifier = ERN* value. Any records displayed indicate that the provider is delivering apprenticeship provision to its own employees. Under such circumstances, you should see the following conditions satisfied:

- The provider must identify these records as apprenticeship provision delivered to its own employees by recording the value 356 in the Learning Delivery FAM Type *LDM (Learning delivery monitoring)*. Check whether this is the case and instruct the provider to update the ILR as necessary.
- Since, for these learners, the provider is an employer-provider, there must be no profit element included in the *Total negotiated price* and this value must reflect only the actual cost. Use this report in conjunction with PDSAT report 19A-212 to identify learners where there is no price differential between the provider's own employees and other learners. Check the prices that the provider is charging

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<sup>3</sup> Paragraphs P120, P121, EP107, E95 and E96 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers.

other employers for delivering the same apprenticeship frameworks and standards. You should find that these prices are higher than the actual cost of delivering to its own employees. Query with the provider any instances where these values are the same or similar.

This report contains a derived variable that calculates the *Total negotiated price as proportion of funding band maximum*. As a result, it can be used in conjunction with report 19A-211 (Negotiated prices as a proportion of funding band maxima) to identify learners that fall within a specific range.

It also contains a derived variable that calculates the *Total assessment price as proportion of funding band maximum*. Use this field to check whether there are any apprenticeship standards where the price of end-point assessment exceeds 20% of the funding band maximum, as this should not usually be the case<sup>4</sup>.

This report will also be useful for identifying sub-populations for additional testing where you identify funding errors that you can ring-fence.

## **19A-104: All Advanced Learner Loan and Loans Bursary Fund learners**

*Funding model: 99*

*Identifies learners funded by loans and lists all of their learning aims and, in addition, identifies those learners that are receiving loans bursary funding.*

This report is useful should you need to undertake any additional testing of loans learners or loans bursary funding, including reconciliation to SLC records.

The ESFA no longer allows providers to subcontract provision funded by loans (“loans provision”). However, there are minor exceptions left over from the 2016 to 2017 funding year (“2016/17”).

Check whether there is any subcontracted loans provision in the current year by applying the following filters:

- *Subcontracted or partnership UKPRN* is not blank; and
- *Learning actual end date* is blank or *Learning actual end date* is after 31/07/2017.

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<sup>4</sup> Paragraphs P117, EP102 and E102 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers.

If this returns no records, no further review of this report is necessary.

Where records exist, apply the additional filter:

- *Learning start date* is on or after 01/08/2016.

Any records that remain are contrary to the 2016/17 funding rules, since they required all subcontracted provision commencing after this date to be completed by 31 July 2017<sup>5</sup>, unless the ESFA has given permission to extend beyond this date. The provider must review all affected provision and correct the ILR accordingly.

Change the *Learning start date* filter to:

- *Learning start date* is before 01/08/2016.

Any records that remain may be contrary to the 2016/17 funding rules, depending on whether the conditions described below are satisfied.

Where the provider held a direct funding agreement for adult education budget and/or apprenticeships provision in 2016/17, establish whether it subcontracted any loans provision during the 2015 to 2016 funding year (“2015/16”) and, if so, obtain a list of the UKPRNs of the subcontractors.

If the provider did subcontract loans provision in 2015/16, it could continue to subcontract loans provision in 2016/17 but only to those organisations with which it held subcontracting arrangements in 2015/16. However, all such loans provision must have been planned to be completed, and must have been completed, by 31 July 2017, except where it started before 1 August 2016<sup>6</sup>.

In this case, inspect the values in the *Subcontracted or partnership UKPRN* field to check that the only subcontracted learning aims are delivered by subcontractors on the list of UKPRNs of 2015/16 subcontractors obtained earlier.

Where any of the subcontracted provision identified does not satisfy these requirements, the provider must review all affected provision and correct the ILR accordingly.

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<sup>5</sup> Paragraph F24.4 of the *Advanced Learner Loans funding and performance-management rules for the 2016 to 2017 funding year*.

<sup>6</sup> Paragraphs F24, F24.1, F24.2 and F24.3 of the *Advanced Learner Loans funding and performance-management rules for the 2016 to 2017 funding year*.

## 19A-105: Learners enrolled on English and/or maths learning aims

*Funding models: 35, 36, 81*

*Lists all learners and any records of enrolments on English and/or maths learning aims up to and including level 2.*

Providers can claim full funding for English and/or maths learning aims, up to and including level 2, delivered within the adult education budget as part of the legal entitlement<sup>7</sup>. Use this report to identify learners for which the provider may be under-claiming funding. Apply the following filters:

- *Funding model = 35*
- *Programme type is blank*
- *Full and co-funding indicator = 2*

Any learning aims displayed could be eligible for full funding. Check that the learners meet the legal entitlement eligibility and that the provision is fundable as per the funding rules<sup>8</sup>.

This report will also be useful should you need to undertake any additional testing of English and/or maths, for example, where you identify funding errors that you can ring-fence.

## 19A-106: Learning support funding

*Funding models: 35, 36, 81*

*Identifies learners and all recorded instances of learning support funding.*

Review of this report is not required but the report will be useful should you need to undertake any additional testing of learning support funding.

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<sup>7</sup> Legal entitlements, page 22, and Government contribution table, page 23, *Adult education budget funding and performance management rules for the 2018 to 2019 funding year*.

<sup>8</sup> Paragraphs 171 to 177, *Adult education budget funding and performance management rules for the 2018 to 2019 funding year*.

## 19A-107: Learning aims by delivery postcode

*Funding models: 35, 36, 81*

*Summarises the volume of learning aim enrolments in the ILR by delivery location postcode.*

Review of this report is not required but the report may be useful for identifying the extent of a potential issue where you identify funding errors that could be ring-fenced according to a particular delivery location, and you need to undertake additional testing.

## 19A-108: Funding by subcontractor

*Funding models: 35, 36, 81*

*Summarises by subcontractor and funding line the value of ESFA funded provision delivered by a subcontractor (outputs count of learners only with an XML input).*

For each subcontractor's UKPRN, filter on Subcontracted or partnership UKPRN to indicate the total value of ESFA funded provision (only with a FIS input). In doing so, bear in mind the limitations on the earnings values for FM36 provision.

Compare each of these values with the provider's Subcontractor declaration. Check any UKPRN values that do not appear on the declaration on the [UK Register of Learning Providers \(UKRLP\)](#) website to identify the subcontractor. Raise with the provider any instances where it has not reported the subcontractor on the declaration and instruct the provider to notify the ESFA via an updated declaration. The value of ESFA funded provision in the ILR may exceed the value on the declaration because the amount the provider pays its subcontractors is likely to be different to the value of ESFA funding. However, if it is significantly greater, raise this with ESFA provider management.

Use this report in completing working papers D11 and D12.

Note that providers must complete the *Subcontracted or partnership UKPRN* field if a subcontractor delivers any proportion of the learning aim, no matter how small. Note also that where more than one subcontractor delivers a learning aim, the provider records in the ILR only the UKPRN of the one delivering the larger/largest proportion.

## 19A-201: 19+ apprentices with full funding claimed

*Funding model: 35*

*Lists fully funded learning aims for apprentices aged 19 and over at the start of their learning aim or programme.*



The ESFA will fully fund adult apprenticeship frameworks starting prior to 1 May 2017 where:

- the apprentice started when they were aged between 19 and 24 and is subject to an Education, Health and Care Plan (EHCP); or
- extended funding applies; or
- the apprentice started when they were aged between 16 and 18, took a break in learning and returned to the same apprenticeship framework after they had turned 19.

Report 19A-202 deals with the second and third bullets above, for those learners where *Eligibility for enhanced apprenticeship funding* applies. The output for this report excludes such learners.

Check for learners without an EHCP by applying the following filter:

- *Education Health Care Plan* is blank.

Any records that remain must contain data errors and may also contain over-claims of funding. Where the provider holds evidence to support claims for full funding, it must correct the respective ILR field. This is likely to be the learner's date of birth, the original learning start date of the apprenticeship programme, *Education Health Care Plan* or *Eligibility for enhanced apprenticeship funding*.

Co-funding applies to all apprentices aged 25 and over when they start so any such learners listed are likely to be funding errors. Identify these by applying the following filter:

- *Age at start of programme* > 24.

Where an adult apprenticeship is correctly co-funded, any claims for full funding for English and maths within the apprenticeship (e.g. functional skills) are funding errors.

Where the learner does not qualify for full funding, the provider must change the Code value relating to the ILR Learning Delivery Funding and Monitoring (FAM) Type *FFI (Full or co-funding indicator)* to 2 (co-funding). This includes instances of learners returning to learning having previously withdrawn, where there is no evidence of an intention to return when the learning was suspended<sup>9</sup>.

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<sup>9</sup> Paragraph A41 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

Auditors can also use this report to check evidence held to support claims for full funding for adult apprentices.

## 19A-202: 19+ apprentices with enhanced or extended funding

*Funding models: 35, 36, 81*

*Identifies learning aims for which enhanced or extended funding is being claimed for apprentices that were 19 and over when they started.*

This report considers ILR Learning Delivery FAM Type *EEF (Eligibility for enhanced apprenticeship funding)* which is only required for aims that are part of an apprenticeship programme.

### Funding model 35

Check adult apprenticeship frameworks starting prior to 1 May 2017 with enhanced or extended funding to confirm that:

- a) the ILR Learning Delivery FAM Type *RES (Restart indicator)* has been completed (as well as *Original learning start date*, where applicable); or
- b) the apprentice was aged between 19 and 24 when they started and is subject to an EHCP; or
- c) the apprentice was aged between 19 and 24 when they started and satisfies the conditions for extending the funding <sup>10</sup>.

Exclude apprentices that meet criteria a) and b) from the report output by applying all of the following filters:

- *Funding model* = 35; and
- *Learning aim reference* = "ZPROG001"; and
- *Restart indicator* is blank; and
- *Education Health Care Plan* is blank
- *Eligibility for enhanced apprenticeship funding* = 2 or 3.

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<sup>10</sup> Paragraphs C14 to C16 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*.

Any records that remain are likely to contain data errors and over-claims of funding. This includes instances where the learner has transferred to a new pathway within the same framework, since the provider must complete the *Restart indicator* in such circumstances. Where this occurs, review the evidence that supports the transfer.

Note that remaining records will be programme aims only but data errors could be, and over-claims of funding will be, at learning aim level. Flag the respective programme aim records accordingly so that when you remove the filter, you can still identify the learners affected.

Now, from the list of filters above, change the last one to:

- *Eligibility for enhanced apprenticeship funding* = 4.

Any records that remain will be correct only if they relate to learners that satisfy criterion c) above. This means that there must be evidence to demonstrate that any learners listed either were unable to start an apprenticeship framework before their 19<sup>th</sup> birthday due to exceptional circumstances or are a care leaver. Where there is no such evidence, these are data errors and are likely to be over-claims of funding.

In all of the instances above, where the provider holds evidence to support claims for enhanced or extended funding, it must correct the respective ILR field. Where the learner does not qualify for enhanced or extended funding, the provider must remove the ILR Learning Delivery FAM Type *EEF (Eligibility for enhanced Apprenticeship funding)* and the respective Code (2, 3 or 4). This includes instances of learners returning to learning having previously withdrawn, where there is no evidence of an intention to return when the learning was suspended<sup>11</sup>.

## Funding model 81

Check adult apprenticeship standards starting prior to 1 May 2017 with enhanced or extended funding to confirm that:

- a) the ILR Learning Delivery FAM Type *RES (Restart indicator)* has been completed (as well as Original learning start date, where applicable); or
- b) the apprentice was aged between 19 and 24 when they started and is subject to an EHCP; or

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<sup>11</sup> Paragraph A41 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

c) the apprentice is eligible for the additional 16 to 18 employer incentive<sup>12</sup>.

Exclude apprentices that meet criteria a) and b) from the report output by applying all of the following filters:

- *Funding model* = 81; and
- *Learning aim reference* = “ZPROG001”; and
- *Restart indicator* is blank; and
- *Education Health Care Plan* is blank
- *Eligibility for enhanced apprenticeship funding* = 2.

Any records that remain are likely to contain data errors and may contain over-claims of funding. For example, learners flagged with *Eligibility for enhanced apprenticeship funding* = 2 must have restarted a programme that they originally started when they were aged 16 to 18, otherwise they do not attract any 16 to 18 incentive payments.

Remaining records will be programme aims only but data errors could be at learning aim level. Flag the respective programme aim records accordingly so that when you remove the filter, you can still identify the learners affected.

Now apply all of the following filters:

- *Funding model* = 81; and
- *Learning aim reference* = “ZPROG001”; and
- *Eligibility for enhanced apprenticeship funding* = 4.

Any records that remain will be correct only if they relate to learners that satisfy criterion c) above. This means that there must be evidence to demonstrate that any learners listed are care leavers. Where there is no such evidence, these are data errors and are likely to be over-claims of funding.

Where the learner does not qualify for enhanced or extended funding, the provider must remove the ILR Learning Delivery FAM Type *EEF (Eligibility for enhanced Apprenticeship funding)* and the respective Code (2 or 4).

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<sup>12</sup> Paragraphs D33, D80 to D84 of the *Apprenticeship standards funding rules for the 2016 to 2017 funding year*.

## Funding model 36

Check for correct completion of relevant ILR fields by applying the following filters:

- *Funding model* = 36; and
- *Learning aim reference* = “ZPROG001”; and
- *Eligibility for enhanced apprenticeship funding* = 2; and
- *Education Health Care Plan* is blank.

Check with the provider as to whether one of the *Education Health Care Plan* and *Eligibility for enhanced apprenticeship funding* fields require correction and ensure that it takes the necessary action. Note that there may be no corrections to make, such as where the learner has transferred to a new pathway within the same framework, all within funding model 36.

In addition to the review notes above, auditors can use this report routinely to check evidence held to support claims for enhanced or extended funding for adult apprentices including evidence of learners’ intention to return following breaks in learning.

Check apprenticeships starting on or after 1 May 2017 with enhanced or extended funding to confirm that:

- a) the ILR Learning Delivery FAM Type *RES (Restart indicator)* has been completed (as well as *Original learning start date*, where applicable); or
- b) the apprentice was aged between 19 and 24 when they started and is subject to an EHCP; or
- c) the apprentice was aged between 19 and 24 when they started and has been in the care of their local authority<sup>13</sup>.

Providers use the ILR Learning Delivery FAM Type *EEF (Eligibility for enhanced apprenticeship funding)* to identify such apprentices using the respective Codes 2 and 4. Ensure that where the provider has recorded one of these Codes, it holds evidence to support this value and any resulting additional payments.

Exclude apprentices that meet criteria a) and b) from the report output by applying all of the following filters:

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<sup>13</sup> Paragraphs P101 and EP93 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers and employer-providers.

- *Funding model* = 36; and
- *Learning aim reference* = “ZPROG001”; and
- *Restart indicator* is blank; and
- *Education Health Care Plan* is blank
- *Eligibility for enhanced apprenticeship funding* = 2.

Any records that remain are likely to contain data errors and over-claims of funding. This includes instances where the learner has transferred to a new pathway within the same funding model and framework, since the provider must complete the *Restart indicator* in such circumstances. Where this occurs, review the evidence that supports the transfer.

Remaining records will be programme aims only but data errors could be at learning aim level. Flag the respective programme aim records accordingly so that when you remove the filter, you can still identify the learners affected.

Now, from the list of filters above, change the last one to:

- *Eligibility for enhanced apprenticeship funding* = 4.

Any records that remain will be correct only if they relate to learners that satisfy criterion c) above. This means that there must be evidence to demonstrate that any learners listed are care leavers. Where there is no such evidence, these are data errors and are likely to be over-claims of funding.

In all of the instances above, where the provider holds evidence to support claims for enhanced or extended funding, it must correct the respective ILR field. Where the learner does not qualify for enhanced or extended funding, the provider must remove the ILR Learning Delivery FAM Type *EEF (Eligibility for enhanced Apprenticeship funding)* and the respective Code (2 or 4).

## **19A-203: Apprenticeship frameworks minimum duration exceptions**

*Funding models: 35, 36*

*Lists learners on apprenticeship frameworks that may not satisfy apprenticeship minimum duration requirements. The report output contains all component learning aims for learners identified*

Apprenticeship frameworks must have a minimum planned delivery duration of at least a year. The definition of a year in the context of minimum duration depends on the funding model and, for ILR purposes:

- FM35: The *Learning planned end date* must be on or after the anniversary of the *Learning start date*.
- FM36: The *Learning planned end date* must be on or after the day before the anniversary of the *Learning start date*.

Where the learner is a restart or a transfer between providers, the total amount of time spent on the programme must be at least the minimum duration.

The only exception to this minimum duration rule is where the provider is not delivering all the elements of an apprenticeship framework that started prior to 1 May 2017 (FM35) due to the recognition of prior learning or previously certificated achievement of a mandatory aim. Even with this exception, the duration must be at least six months<sup>14</sup>. Otherwise, they are not eligible for funding.

PDSAT goes beyond the validation rules in determining whether an apprenticeship programme fails to satisfy the rules on minimum duration. The report identifies such programmes in the following cases:

- For achievements, programmes with an actual duration less than a year. Where there is more than one episode of learning in the ILR, PDSAT checks the cumulative actual duration. If the planned duration is also less than a year, all the funding is ineligible. If the planned duration is at least a year, the provider cannot record the apprenticeship as achieved in the ILR (i.e. they must not record *Outcome* = 1) or claim an achievement payment.
- For leavers that have not been recorded as achievements, programmes with an actual duration of less than a year and a planned duration of less than a year. Where there is more than one episode of learning in the ILR, PDSAT checks the planned duration of the most recent programme, taking into account the actual amount of time on previous episodes of learning. The funding for the most recent episode of learning is ineligible. This may also be the case for previous episodes of learning if they also failed to satisfy the rules on minimum duration.
- For learners still in learning, programmes with a planned duration of less than a year and an actual duration to date of less than a year (including cumulative durations as described above). The provider must end the current apprenticeship programme and add a restarted programme with a learning planned end date that

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<sup>14</sup> Paragraph C7 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*.

ensures that the minimum duration requirement is satisfied. Funding adjustments for prior learning will be required for individual learning aims.

Note that PDSAT can only calculate cumulative duration based on records in the ILR file under review.

Use the programme aim to gain an overview of each learner's programme by filtering on *Learning aim reference* = "ZPROG001". The report also displays two variables, *Programme planned duration days* and the *Programme actual duration days (to ILR date if still in learning)*, to aid review, calculated as follows:

- *Programme planned duration days*: The planned duration of the most recent episode of apprenticeship learning plus the actual duration of all previous episodes of the same apprenticeship framework and pathway.
- *Programme actual duration days (to ILR date if still in learning)*: The sum of the actual duration of all episodes of apprenticeship learning for the same apprenticeship framework and pathway.

The provider will need to investigate the circumstances of each learner listed in the report. It could be that there are earlier episodes of learning in prior years and that PDSAT cannot count these because they do not appear in this year's ILR. The additional duration of any such earlier episodes of learning may enable the learner to meet the rules on minimum duration. However, the provider will need to supply evidence of these.

Check that the *Learning planned end date* has been correctly input based on the information in the learning agreement. Where the provider has correctly input the *Learning planned end date* and the apprenticeship does not meet minimum duration requirements, the provider must take corrective action accordingly.

For FM35 apprenticeships, check whether any element of the framework either has a funding reduction for prior learning applied or is not being delivered at all. In some cases, it will be easy to spot apprenticeship programmes where the provider is not delivering all elements of the framework, for example, where it contains no English or maths learning aim. However, where you are unfamiliar with the mandatory aims of a particular framework, you can find details by searching [apprenticeship frameworks online](#).

It is acceptable to reduce the planned duration of an adult apprenticeship within FM35 below one year if, for example, the provider is not delivering a functional skill because prior achievement of a GCSE satisfies the mandatory requirement of the framework. Note that where there is no prior learning, it is not acceptable to apply a funding reduction solely with the intention of delivering an adult apprenticeship in less than a year.

Check for adult apprenticeships within FM35 that are planned to last for less than six months in total as these are not eligible for funding at all.



Where the provider has input the data in line with the learning agreement and the apprenticeship does not meet minimum duration requirements, the provider must take corrective action accordingly.

## **19A-204: Apprenticeship standards minimum duration exceptions**

*Funding models: 36, 81*

*Lists learners on apprenticeship standards that may not satisfy apprenticeship minimum duration requirements. The report output contains all component learning aims for learners identified.*

Apprenticeship standards must have a minimum planned delivery duration of at least 372 days. For ILR purposes, the *Learning planned end date* must be at least a week beyond the anniversary of the *Learning start date* (except where the planned duration includes a leap day).

Where the learner is a restart or a transfer between providers, the total amount of time spent on the programme must be at least the minimum duration.

PDSAT goes beyond the new validation rules in determining whether an apprenticeship programme may not satisfy the rules on minimum duration. The report identifies such programmes in the following cases:

- For achievements, programmes with an actual duration of less than a year. Where there is more than one episode of learning in the ILR, PDSAT checks the cumulative actual duration. If the planned duration is also less than a year, all the funding could be ineligible. If the planned duration is at least a year, the provider cannot record the apprenticeship as achieved in the ILR (using *Outcome = 1*) or claim an achievement payment.
- For leavers that have not been recorded as achievements, programmes with an actual duration of less than a year and a planned duration of less than a year. Where there is more than one episode of learning in the ILR, PDSAT checks the planned duration of the most recent programme, taking into account the actual amount of time on previous episodes of learning. The funding for the most recent episode of learning is ineligible. This may also be the case for previous episodes of learning if they also failed to satisfy the rules on minimum duration.
- For learners still in learning, programmes with a planned duration of less than a year and an actual duration to date of less than a year (including cumulative durations as described above). The provider must end the current apprenticeship programme and add a restarted programme with a learning planned end date that

ensures that the minimum duration requirement is satisfied. Funding adjustments for prior learning will be required for individual learning aims.

Note that PDSAT can only calculate cumulative duration based on records in the ILR file under review.

Use the programme aim to gain an overview of each learner's programme by filtering on *Learning aim reference* = "ZPROG001". The report also displays two variables, *Programme planned duration days* and the *Programme actual duration days (to ILR date if still in learning)*, to aid review, calculated as follows:

- *Programme planned duration days*: The planned duration of the most recent episode of apprenticeship learning plus the actual duration of all previous episodes of the same apprenticeship framework and pathway.
- *Programme actual duration days (to ILR date if still in learning)*: The sum of the actual duration of all episodes of apprenticeship learning for the same apprenticeship framework and pathway.

The provider will need to investigate the circumstances of each learner listed in the report. It could be that there are earlier episodes of learning in prior years and that PDSAT cannot count these because they do not appear in this year's ILR. The additional duration of any such earlier episodes of learning may enable the learner to meet the rules on minimum duration. However, the provider will need to supply evidence of these.

Check that the *Learning planned end date* has been accurately input based on the information in the learning agreement. Where this results in the apprenticeship not meeting minimum duration requirements, the provider must take corrective action accordingly.

## **19A-205: Apprentices and trainees with co-funding**

*Funding model: 35*

*Lists apprentices that were aged 16 to 18 when they started their framework, apprentices with education, health and care plans (EHCP) that were aged 19 to 24 when they started their framework and trainees, where their learning aims are co-funded.*

For apprenticeship frameworks that commenced prior to 1 May 2017, the ESFA fully funded all apprentices aged 16 to 18 when they started and all apprentices aged 19 to 24 when they started if they had an EHCP. In addition, the ESFA fully funds all the core elements of a traineeship programme.

Any records on this report are likely to be under-claims of funding, unless the provider has returned an incorrect date of birth.

## 19A-206: Employment status exceptions

*Funding models: 35, 36, 81*

*Identifies apprentices whose employment status record indicates that at any time during their programme, they are not "in paid employment", they are self-employed or, for apprentices that started their programme prior to 1 May 2017, they are working fewer than 16 hours per week or they are in receipt of JSA, ESA (WRAG) or Universal Credit (mandated to skills training), and lists all of their learning aims.*

This looks at apprentices' employment status records to check whether they are:

- a) not in paid employment; or
- b) self-employed; or
- c) in receipt of Jobseeker's Allowance (JSA), Employment and Support Allowance (work-related activity group) (ESA (WRAG)) or Universal Credit (and mandated to skills training); or
- d) working fewer than 16 hours per week.

Apprentices that started their programmes prior to 1 May 2017 cannot be in one of the groups listed and participate in an apprenticeship programme (except in the case of apprenticeship frameworks, where alternative completion conditions apply to self-employed learners<sup>15</sup> or unemployed learners<sup>16</sup>, and apprenticeship standards, where specific rules apply in the case of redundancy<sup>17</sup>).

Apprentices that started their programmes on or after 1 May 2017 cannot be in groups a) or b) above and participate in an apprenticeship programme (except for when specific rules apply in the case of redundancy<sup>18</sup>).

Providers can use this report to identify records that are likely to contain either data errors or over-claims of funding.

Identify learners in each of the first two bulleted groups by filtering on *Funding model* in (35, 36, 81) and applying each of the following filters in turn:

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<sup>15</sup> Paragraph B9 of the *Apprenticeships: common funding and performance-management rules for the 2016 to 2017 funding year*.

<sup>16</sup> Paragraph C3 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*.

<sup>17</sup> Paragraph D137 of the *Apprenticeship standards funding rules 2016 to 2017*.

<sup>18</sup> Paragraphs P251 to P253 of the *Apprenticeship funding rules for training providers August 2018 to July 2019*.

- *Employment status* in (11, 12, 98)
- *Self employment indicator* = 1.

Identify learners in each of the third and fourth bulleted groups by changing the filter to *Funding model* in (35, 81) and applying each of the following filters in turn:

- *Benefit status indicator* in (1, 2, 4)
- *Employment intensity indicator* = 2.

For each filtered list, any records that appear are likely to contain either data errors or over-claims of funding. Exceptions are the filter on *Employment status*, where you will need to check whether rules on redundancy apply, and the filter on *Self employment indicator*, where you will need to check whether alternative completion conditions apply to each learner's occupation and framework<sup>19</sup> before determining whether a data or funding error exists. Where the provider holds evidence to support claims for apprenticeship funding, it must correct the respective ILR field. Where the ILR data accurately reflects the learner's circumstances and the provider has claimed funding in error, it must take remedial action to correct the funding. This could involve removing the learner's apprenticeship programme from the ILR where the programme is ineligible for funding.

The provider must make any corrections to the data as necessary.

## **19A-207: Apprentices undertaking level 1 or below in English and/or maths within an apprenticeship**

*Funding models: 36, 81*

*Funding rules monitoring plan: FRM14*

*Identifies (and lists learning aims for) learners undertaking level 1 or below in maths and/or English within an apprenticeship standard starting prior to 1 May 2017 or any apprenticeship starting on or after 1 May 2017.*

The ESFA is monitoring apprentices enrolled on English and/or maths at level 1 or below within an intermediate level or level 2 apprenticeship starting on or after 1 May 2017 to ensure that the apprentice needs to study at level 1 or below first in order to be able to achieve level 2.

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<sup>19</sup> Paragraph C5 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*.

Only where the provider has conducted a thorough initial assessment demonstrating that the learner needs to study at level 1 first in order to successfully achieve level 2 will the ESFA fund level 1 or below in English and/or maths<sup>20</sup>.

To identify apprentices on the apprenticeship programme (for starts on or after 1 May 2017), filter on *Funding model* = 36.

For learners listed, the provider must hold evidence of such an assessment, otherwise it cannot claim funding for the reported level of English and/or maths and must amend the ILR accordingly. Note that there may be exceptions for learners with special educational needs, learning difficulties and/or disabilities<sup>21</sup>.

This report also considers apprentices enrolled on level 1 or below in English and/or maths within a standard starting prior to 1 May 2017. Unless they had already achieved level 2 in English and/or maths, such apprenticeship standards required learners to take level 2 English and/or maths. Only where the lead or contracted provider conducted a formal, recognised assessment demonstrating that the learner needed to study at level 1 first in order to successfully achieve level 2 could the learner enrol on level 1 English and/or maths<sup>22</sup>.

Identify these learners by applying the following filters:

- *Funding model* = 81
- *Aim level* = 1
- *Learning aim title* is an English or maths learning aim.

For learners and learning aims listed, the provider must hold evidence of such an assessment, otherwise it cannot claim funding for level 1 in English and/or maths and must amend the ILR accordingly.

Providers cannot enrol learners on English and/or maths below level 1 and any such funding claimed is in error.

Identify these learners by applying the following filters:

- *Funding model* = 81

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<sup>20</sup> Paragraph P130, EP115 and E105 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers.

<sup>21</sup> Paragraph P125, EP110 and E100 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers.

<sup>22</sup> Paragraph D45 of the *Apprenticeship standards funding rules 2016 to 2017*.

- *Aim level = E*
- *Learning aim title is an English or maths learning aim.*

For learners and learning aims listed, the provider must amend the ILR accordingly to remove funding.

## **19A-208: Higher level apprentices undertaking English and/or maths at level 2**

*Funding model: 36*

*Identifies (and lists learning aims for) learners undertaking English and/or maths qualifications at level 2 within an apprenticeship programme of level 5 or higher.*

Whilst learners undertaking apprenticeship programmes at a higher level may not have already achieved level 2 in English and/or maths, it is reasonable to expect that there will not be many such instances. Providers must hold to evidence confirming the need for such learners to be enrolled on these English and/or maths learning aims and that learning is taking, or has taken, place. For each learner listed in this report, check that such evidence exists.

## **19A-209: English and/or maths at level 2 or below in an apprenticeship having already achieved level 2**

*Funding model: 36*

*Funding rules monitoring plan: FRM13*

*Identifies English and/or maths functional skills learning aims at level 2 or below within apprenticeship programmes starting on or after 1 May 2017, where there is a record in the ILR of the learner having already achieved a level 2 in English and/or maths respectively.*

The ESFA is monitoring apprentices that enrol on English and/or maths learning aims at level 2 or below having already achieved level 1 or above in the same subject. This report considers those instances where the ILR contains a record of a prior achievement at level 2.

Whilst monitoring looks across all ILRs for several funding years, PDSAT is restricted to interrogating only the ILR file under review.

Providers can claim funding for delivering English and/or maths to apprentices if they do not already meet the required standard. Funding is available for functional skills at level

2 where the learner does not already hold GCSE grades A\* to C or 9 to 4 in the respective subject, or the same level of functional skills.

Any entries on this report are likely to be funding errors since the learner has a prior achievement recorded in the same ILR file. Where the provider has recorded an incorrect learning aim in the ILR, there may not be a funding error but the provider will need to correct the data accordingly.

## **19A-210**

*Report not developed. Placeholder for future use.*

## **19A-211: Negotiated prices as a proportion of funding band maxima**

*Funding model: 36*

*Summarises the volume of apprenticeships starting on or after 1 May 2017 according to the value of the negotiated price as a proportion of the funding band maxima.*

For each apprenticeship programme, the total negotiated price as a proportion of the funding band maximum is calculated and the values are then counted and grouped in this report (>150%, <50% and in 10% intervals in between, except for 100% which is a group in its own right).

You can use this report if you are interested in establishing whether the provider's negotiated prices appear to be disproportionately spread, or predominantly set at the funding band maximum, in which case you should be mindful when reviewing apprentices' evidence packs. You may find outliers that warrant further investigation. Some apprentices may have prior learning that have rendered a price reduction appropriate. Alternatively, they may be predominantly set above the funding band maximum, requiring an element of 100% employer co-investment.

Use this report in conjunction with 19A-103 where you are undertaking any specific review of negotiated prices.

## **19A-212: Negotiated prices and actual cost**

*Funding model: 36*

*Summarises by apprenticeship the count of apprenticeships starting on or after 1 May 2017 according to whether the learners are the provider's own employees or employees of other businesses.*

Where providers deliver apprenticeship training to their own employees, the recorded price must reflect the actual cost of delivery, meaning that there should be an appropriate differential between this and the negotiated training price for delivering apprenticeship training to employees of other businesses.

For any apprenticeships where the report contains a non-zero count of learners that are the provider's own employees, compare the training price with that for the same apprenticeship programme (same values for *Apprenticeship name*, *Programme type*, *Framework code*, *Apprenticeship pathway* and *Standard code*) delivered to learners employed by other employers. Where there is no price differential, this is likely to result in a funding error. Where the price differential is small, query this with the provider. Review the evidence to support actual costs and negotiated price, and seek justification for similar costs and prices.

## **19A-213: Apprenticeship planned durations**

*Funding model: 36*

*Summarises by apprenticeship the count of apprenticeships starting on or after 1 May 2017 according to the planned duration.*

For each apprenticeship and total negotiated price, this report groups by planned duration the number of learners. This enables review of the spread of planned durations for each apprenticeship programme.

Where providers deliver the same apprenticeship programme at the same price, it is reasonable to expect largely similar planned durations. Providers should be able to justify any wide variations in planned durations for delivery of the same apprenticeship programmes.

Look for apprenticeship programmes that have relatively high numbers of learners on significantly different planned durations. For any individual apprenticeship programme, use report 19A-103 to identify the learners affected and check whether there is any commonality between groups of learners and planned durations, such as whether they have the same employer.

Seek to establish the provider's reasons for such disparity and consider whether they are reasonable. In particular, consider whether it is appropriate to charge the same price for apprenticeship programmes that the provider plans to deliver over significantly different durations.



## 19A-214: Apprentices withdrawing from the programme soon after attracting an additional payment

*Funding model: 36*

*Identifies programmes from which apprentices withdraw where the actual duration is within 14 days of the qualifying date for additional payments.*

Learners listed on this report should have attracted an additional payment, which you can check by referring to the *FM36 additional* indicative earnings fields. Ignore any learners for which there is no additional payment recorded.

For the learners identified, ask the provider for evidence to support the learners' eligibility for additional payments<sup>23</sup>, and check evidence to support the *Learning start date* and the *Learning actual end date*. The provider will need to make the necessary data adjustments where it cannot supply the evidence.

## 19A-215: Recording co-investment payments

*Funding model: 36*

*Funding rules monitoring plan: FRM12*

*Identifies apprenticeship programmes where co-investment is expected (subject to exceptions) but there are no employer payment records in the ILR.*

The ESFA is monitoring apprentices where co-investment is expected to ensure that employer payments are correctly recorded in the ILR.

For non-levy paying employers and for levy paying employers with insufficient funds their apprenticeship service accounts, the employers must co-invest 10% of the negotiated price up to the maximum value of the funding band. In addition, where the negotiated price exceeds the funding band maximum, all employers must co-invest 100% of the proportion of the negotiated price that is above the funding band maximum.

For learners listed, filter on *Learning aim reference* = "ZPROG001" and use the Learning start date values to establish whether the provider should have collected and recorded employers' co-investment payments, bearing in mind that the learner may not have been on the programme long enough for a payment to have been made. Note that providers

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<sup>23</sup> Paragraphs P99 to P103, EP91 to EP95 and E83 to E86 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers.

must collect co-investment from employers at least every three months and report these values in the ILR.

For learners listed, check whether the employer is delivering the apprenticeship to its own employees, requiring no co-investment records in the ILR. In this case, the provider must record *LDM* = 356 in the ILR.

Where employers have made co-investment payments but the provider has not recorded them in the ILR, the provider must update the ILR accordingly. Where providers have not collected co-investment payments but should have, it must take steps to collect the payments and record them in the ILR. In either case, the provider risks rendering any subsequent completion payment ineligible if it does not take the necessary action.

## **19A-216: Apprenticeship standards with no end-point assessment organisation**

*Funding model: 36*

*Funding rules monitoring plan: FRM15*

*Identifies apprenticeship standards that are approaching or past their planned end date where there is no record of an end-point assessment organisation.*

The ESFA is monitoring apprenticeships that are either past or within two months prior to their learning planned end date, where there is no record of an end-point assessment organisation recorded in the ILR.

Employers must select an end-point assessment organisation and negotiate a price for end-point assessment before learners reach the gateway and move onto end-point assessment. As such, it is reasonable to expect that, in most cases, the end-point assessment organisation will be in place within two months of the learning planned date of the programme.

This report assists providers in identifying those learners that are approaching or past their learning planned end date and have no end-point assessment organisation reported in the ILR. Note that without an end-point assessment organisation in the ILR, the provider cannot report the negotiated price for assessment in the ILR.

Depending on the extent of learners listed in this report, you may wish to seek evidence from the provider either to confirm that it and the employer have engaged with an end-point assessment organisation or to explain why there is no such engagement.

## 19A-301: Traineeships with incorrect or no work placement aims

*Funding model: 35*

*Identifies traineeship programmes containing either no work placement aims or, for adult skills funding, work placements that are not available for funding as they are below the minimum duration of 100 (non-simulated) hours, and lists all component aims.*

A traineeship must include a work placement<sup>24</sup> that lasts at least 100 hours, which do not include simulated hours in an artificial environment<sup>25</sup>. There is a single learning aim reference number, ZWRKX001, that the provider can use to report work placements in the ILR<sup>26</sup>.

As well as traineeships containing no work placement, this report will contain any traineeships with a work placement that totals fewer than 100 non-simulated hours (identified in the ILR using the value *Work placement mode = 2*). Check the work placement hours in the learning agreement. If the ILR is incorrect, the provider must correct it as necessary. If the hours are below 100, the traineeship may be ineligible for funding.

If there is no work placement reported in the ILR, check the learning agreement to confirm whether a work placement was planned to take place at all. If it was, there may be reasons why the provider has not reported it in the ILR. For example, the employer may have withdrawn the placement or the learner may have left the traineeship programme before the placement started. If there was no placement planned, the provider must remove the learner from the traineeship programme.

It is possible that the ESFA will still fund these learners for some of the individual learning aims, depending on whether they satisfy the rules on financial contributions<sup>27</sup>. If fundable, the provider will need to amend the relevant ILR records accordingly, including amending the code value relating to the learning delivery FAM type *FFI (Full or co-funding indicator)* to 2 where only co-funding applies. Otherwise, the learning aims must be set to non-funded or removed.

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<sup>24</sup> Traineeships box, page 30, *Adult education budget funding and performance management rules for the 2018 to 2019 funding year*.

<sup>25</sup> Paragraph 198 of the *Adult education budget funding and performance management rules for the 2018 to 2019 funding year*.

<sup>26</sup> Paragraph 674 of the *Provider Support Manual for 2018 to 2019*.

<sup>27</sup> Government contribution table (page 23) and following paragraphs of the *Adult education budget funding and performance management rules for the 2018 to 2019 funding year*.

## 19A-302: Traineeships with no work preparation aims

*Funding model: 35*

*Identifies traineeship programmes containing no work preparation learning aims.*

A traineeship programme must include work preparation as a core element<sup>28</sup> and is ineligible for funding otherwise. All work preparation activity, including non-regulated aims, must be recorded using learning aims categorised as *Work Preparation-SFA Traineeships* on the Learning Aim Reference Service (LARS). You can identify such learning aims by referring to the *Core\_LARS\_LearningDeliveryCategory* table in LARS and filter on *CategoryRef = 2*.

Learners listed in this report have no such work preparation learning aims recorded in their traineeship programme. Where these learners' learning agreements contain an eligible work preparation learning aim and the provider has omitted to return details of the learning aim in its ILR data return, it must make the necessary data corrections. Where the learning agreement does not contain such an aim, the provider must remove the learner from the traineeship programme. It is possible that the ESFA will still fund these learners for some of the individual learning aims, depending on whether they satisfy the rules on financial contributions<sup>29</sup>. If fundable, the provider will need to amend the relevant ILR records accordingly, including amending the code value relating to the learning delivery FAM type *FFI (Full or co-funding indicator)* to 2 where only co-funding applies. Otherwise, the learning aims must be set to non-funded or removed.

## 19A-303: Traineeship enrolments where previous learning indicates unsuitability or ineligibility

*Funding model: 35*

*Identifies learners enrolled on a traineeship programme during the 2018 to 2019 funding year, having already been recorded in the ILR as having either completed a traineeship programme, achieved an apprenticeship or a full level 3 qualification.*

The ESFA is monitoring traineeship programmes to ensure that there is no evidence that learners have sufficient work experience to enable them to enter and sustain

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<sup>28</sup> Traineeships box, page 30, *Adult education budget funding and performance management rules for the 2018 to 2019 funding year*.

<sup>29</sup> Government contribution table (page 23) and following paragraphs of the *Adult education budget funding and performance management rules for the 2018 to 2019 funding year*.

employment, and also for learners that already hold a full level 3 when they enrol on the traineeship programme.

Whilst monitoring looks across all ILRs for several funding years, PDSAT is restricted to interrogating only the ILR file under review for previous episodes of learning.

The ESFA will only fund traineeship programmes where the learner has little or no work experience and is focused on employment, an apprenticeship or the prospect of this, and they have been assessed as having the potential to be ready for employment or an apprenticeship within six months.

Any learner that has previously completed an apprenticeship or traineeship programme will have significant work experience. Only in exceptional circumstances will learners listed meet the criteria for funding for a traineeship programme.

The provider will need to demonstrate why it believes that learners listed are eligible for funding for a traineeship programme.

Learners that already hold a full level 3 qualification are ineligible for the traineeship programme and the learning aims must be removed from the traineeship programme and set to non-funded, or removed from the ILR completely.

## **19A-304: Traineeships with flexible elements but no core aims**

*Funding model: 35*

*Identifies traineeship programmes that contain flexible elements but no core aims.*

Providers can deliver additional learning aims as flexible elements within a traineeship programme only if they are alongside the core elements of the traineeship. This report lists all traineeship programmes that contain no work placement, no work preparation and no English or maths, yet contains other learning aims not within these categories.

In such circumstances, the ESFA will not fund these learning aims and the provider must amend its ILR data accordingly to remove funding.

## **19A-401: Job outcomes**

*Funding model: 35*

*Identifies learners for whom an employment outcome has been recorded and job outcome payment claimed but the relevant ILR fields do not support such a claim.*

To qualify for a job outcome payment (recorded in the ILR using the *Employment outcome* field), a learner must satisfy certain criteria<sup>30</sup> and the provider must complete the ILR accordingly.

This report contains any exceptions to these criteria. Follow up all records with the provider to check whether the job outcome payment is valid.

Records must contain either data errors or over-claims of funding. Where the provider holds evidence to confirm the eligibility of job outcome payments, it must correct the respective ILR field. This is likely to be one or more of the following:

- *Employment status*
- Employment Status Monitoring Type *BSI (Benefit status indicator)*
- Learning Delivery FAM Type *LDM (Learning delivery monitoring)*.

## **19A-402: Enrolments on level 2 entitlement aims after achieving a full level 2 or higher**

*Funding model: 35*

*Funding rules monitoring plan: FRM16*

*Identifies (and lists relevant learning aims for) learners that achieve a full level 2 (or higher) qualification and are subsequently enrolled on a fully funded level 2 entitlement learning aim.*

The ESFA is monitoring fully funded learners on level 2 entitlement learning aims where they have already achieved a full level 2 (or higher) qualification.

Only unemployed learners<sup>31</sup> can be fully funded under such circumstances, except where the learners are in receipt of a low wage<sup>32</sup>. This report excludes learners for whom the ILR indicates that they are in receipt of JSA, ESA (WRAG) or Universal Credit, or are in receipt of another state benefit and are either in fewer than 16 hours of paid employment or not in paid employment.

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<sup>30</sup> Paragraph 253 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year*.

<sup>31</sup> Paragraphs 149 and 150 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year*.

<sup>32</sup> Paragraphs 151 and 152 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year*.

Check the *LDM* fields for the value 363, indicating that the learner is in receipt of a low wage. For these learners, check that the provider holds evidence to confirm that the learners satisfy the low wage criteria.

For other learners listed, seek to establish whether they meet any of the other criteria within the definition of unemployed. Where they do not, the subsequent level 2 entitlement learning aim must be co-funded and the provider must correct the ILR accordingly.

## **19A-403: Enrolments on level 3 entitlement aims after achieving a full level 3 or higher**

*Funding model: 35*

*Funding rules monitoring plan: FRM17*

*Identifies (and lists relevant learning aims for) learners that achieve a full level 3 (or higher) qualification and are subsequently enrolled on a funded level 3 entitlement learning aim.*

The ESFA is monitoring funded learners on level 3 entitlement learning aims where they have already achieved a full level 3 (or higher) qualification.

Learners cannot be funded in such circumstances and must either fund their own learning or apply for a loan.

Any records listed must contain data errors and are likely to contain funding errors, and the provider will need to correct the ILR accordingly.

## **19A-404: Enrolments on level 2 learning aims that are not part of the legal entitlement**

*Funding model: 35*

*Funding rules monitoring plan: FRM18*

*Identifies (and lists relevant learning aims for) learners with prior attainment below level 2 that are enrolled on a level 2 learning aim that is not part of the legal entitlement.*

The ESFA is monitoring fully funded 19 to 23 year old learners on level 2 learning aims that are not part of the legal entitlement offer.

For learners aged 19 to 23 with prior attainment below level 2, providers can claim funding for level 2 learning aims only where they are part of the legal entitlement. Otherwise, funding is not available within the adult education budget.

This report considers learners with prior attainment below level 2, according to the *Prior attainment* field in the ILR, and with no records of any achievements at level 2 or above in the ILR.

Applying the following filter:

- *Age at aim start* between 19 and 23.

For any learners displayed, check whether there is any evidence that they have any prior achievements at level 2 or above. If they held these achievements prior to starting with the provider, the *Prior attainment* field will need correcting.

If there is no record of any achievements at level 2 or above, the provider cannot claim full funding for the learning aims listed and must set them to non-funded.

## **19A-405: Co-funded learners undertaking level 3 qualifications**

*Funding model: 35*

*Identifies (and lists relevant learning aims for) learners enrolled on and co-funded for a level 3 qualification under the adult education budget.*

Outside the apprenticeship programme, level 3 learning aims are either fully funded, for learners exercising their legal entitlement, or funded by loans. There are no circumstances under which co-funding applies for such learning aims.

Any learning aims listed on this report are either over-claims, where the learner must fund their own learning or apply for a loan, or under-claims, where full funding applies, assuming that the learner has a legal entitlement and wishes to exercise it.

In either instance, the provider must make the necessary amendments to the ILR to correct the funding.

## **19A-406: Learners with prior attainment below level 3 funded by an Advanced Learner Loan**

*Funding model: 99*

*Funding rules monitoring plan: FRM24*

*Identifies (and lists relevant learning aims for) learners aged 19 to 23 with prior attainment below level 3 (or not known) that are being funded by a loan when they may be eligible for full funding under the adult education budget.*



The ESFA is monitoring learners aged 19 to 23 enrolled on level 3 learning aims funded by loans where their prior attainment indicates that they may have a legal entitlement to be fully funded.

When reviewing this report, bear in mind that for any learner, the value for *Prior attainment* in the ILR is their prior attainment when they first enrolled with the provider. The learner may have achieved a full level 3 during its time with the provider, which will not feature in the *Prior attainment* field. It is also possible that the value for *Prior attainment* in the ILR is incorrect. You can exclude from the review any learners that have achieved a full level 3 whilst with the provider.

The availability of loans at level 3 does not replace the legal entitlement to full funding for eligible learners aged 19 to 23 undertaking their first full level 3 qualification.

Learners that have a legal entitlement to full funding for a first full level 3 can choose not to exercise it, instead opting to apply for a loan. In such instances, the provider must hold evidence to confirm that it checked the learners' legal entitlement and made the learners aware that this may mean that they give up their right to exercise their legal entitlement in future. Ensure that this is the case.

Moreover, if the provider has an adult education budget funding agreement, it must not offer such learners a loans funded place. It must take action to reduce affected learners' fee liabilities to zero. This will lead to an under-claim of funding where such learners are funded through the adult education budget.

## **19A-407: Subcontracted provision funded by an Advanced Learner Loan**

*Funding model: 99*

*Identifies learning aims starting on or after 1 August 2016, funded by a loan and delivered by a subcontractor.*

For all learners starting on or after 1 August 2017, providers cannot subcontract any provision funded by a loan. This also applies to provision starting in 2016/17, except for providers with direct funding agreements that were in one or more subcontracting relationships during the 2015 to 2016 funding year, in which case they could continue to subcontract to the same organisations only. However, all such provision starting on or after 1 August 2016 must have been completed by 31 July 2017.

Filter the report on *Learning start date* is on or after 01/08/2017. All records listed will be errors, either because the provision cannot be funded by loans or because the ILR incorrectly contains values for *Subcontracted or partnership UKPRN*.

Change the filters to:

- *Learning start date* is between 01/08/2016 and 31/07/2017
- *Learning actual end date* is blank or *Learning actual end date* is after 31/07/2017.

Check that the ESFA has not given the provider exceptional permission to extend the learning beyond 31 July 2017. Subject to this condition, all records listed will be errors for the same reason as above.

The provider must make the necessary amendments to the ILR.

## **19A-501: Learners repeating learning aims or programmes that they have already achieved**

*Funding models: 35, 36, 81*

*Funding rules monitoring plan: FRM01*

*Identifies learners with programmes or regulated learning aims where the ILR contains a record of earlier achievement of the same programme or aim.*

The ESFA is monitoring learners that achieve a learning aim or apprenticeship programme and for whom the provider claims funding again for the same learning aim or apprenticeship.

The ESFA will fund a learner to repeat the same qualification that they have already achieved only where it is:

- a requirement of an apprenticeship; or
- to obtain a higher grade in a GCSE where the learner has not achieved grade C or 4, or higher<sup>33</sup>.

For any learners and repeated learning aims or apprenticeships that appear in this report, if the provider does not hold evidence to confirm that it is due to one of the reasons listed above, it must remove funding for all instances of the learning aim after the first record of achievement.

Note that although the ESFA's monitoring compares data in the current funding year with that of previous years to identify repeated learning aims, PDSAT can only report

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<sup>33</sup> Paragraphs P97.13, EP89.13 and E81.13 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers, paragraph 67 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year* and, for carry-in apprenticeships, Paragraph A31 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

repeated learning aims in the current funding year. This report excludes non-regulated learning aims and programme aims relating to different apprenticeship frameworks/pathways and standards for the same learner.

## **19A-502: Learning aims with planned duration of one day**

*Funding models: 35, 36, 81*

*Identifies learning aims planned for one day that learners fail to achieve.*

Providers must report learning aims in the ILR only if there is evidence that learning is taking or has taken place. Where learners enrol but do not attend a single episode of learning, providers must not report the learning aim in the ILR at all.

It is unlikely that a learner will attend a learning aim with a planned duration of one day and either withdraw, take a break in learning or fail to achieve. It is more likely that the learner will have enrolled but failed to participate. It is also possible that the provider may have input an incorrect *Learning start date* and/or *Learning planned end date*.

Unless the provider holds evidence to confirm the accuracy of the ILR data, it must make the necessary amendments. This includes removing the learning aim from the ILR completely if the learner did not participate in any learning activity.

## **19A-503: Learning aims with actual duration of one day**

*Funding models: 35, 36, 81*

*Identifies learning aims that learners leave without achieving on the day that they start, where the planned duration is greater than one day.*

Providers must report learning aims in the ILR only if there is evidence that learning is taking or has taken place. Where learners enrol but do not attend a single episode of learning, providers must not report the learning aim in the ILR at all.

It is possible that the provider may have input an incorrect *Learning start date* and/or *Learning actual end date*.

Unless the provider holds evidence to confirm the accuracy of the ILR data, it must make the necessary amendments. This includes removing the learning aim from the ILR completely if the learner did not participate in any learning activity.

## 19A-504: Learners in learning beyond their learning planned end date

*Funding models: 35, 36, 81*

*Lists learners and their learning aims where, as at the earlier of the date on which the provider prepared its ILR data return and 31 July 2019, apprentices in learning and other learners either in learning or withdrawn had passed their planned end date.*

This report identifies learners from the following groups, where they have passed their learning planned end date and, as such, should have completed their learning aim or programme:

- Apprentices that left without achievement or that are still in learning, beyond their programme learning planned end date.
- Learners (other than apprentices) that left without achievement or that are still in learning, beyond their learning planned end date.

In such instances, there is a risk that providers are claiming funding too early or that they are not reporting learners leaving or completing learning on a timely basis, or even at all, potentially affecting achievement rates.

There is no specified number of days beyond the learning planned end date for which learners must have completed or withdrawn from their learning aim or programme. However, the learning planned end date should be a reasonable reflection of the expected amount of time that a learning aim or programme takes to deliver. Review learners that withdraw, or remain in learning, significantly beyond the learning planned end.

The ESFA has previously applied to the two groups of learners above the values of 300 and 100 days respectively when monitoring this issue and we have used them below. However, report reviewers can replace these with any other values they deem appropriate (hence the [square brackets] as a reminder). In particular, the earlier the learning planned end date, the greater the need to review the learner to establish whether the learner is actually still in learning.

For apprentices, identify those in learning more than [300] days after their programme planned end date by applying the following filters:

- *Days in learning beyond programme planned end date (to ILR date) > [300]; and*
- *Learning actual end date is blank.*

Ask the provider to check whether these learners are still in learning. It may be that they have achieved or withdrawn and the provider is yet to input the data. If they are still in learning, the provider must be able to evidence this if requested.

For this group of learners, identify those that left without achievement more than [300] days after their learning planned end date. Change the second filter to:

- *Learning actual end date* is not blank.

Significant numbers of learners meeting these criteria could indicate that the provider's initial assessment process is not sufficiently robust and you may need to report the issue to ESFA colleagues. It could indicate other issues that you may need to consider.

For learners other than apprentices, first identify those in learning more than [100] days after their learning planned end date by applying all of the following filters:

- *Programme type* not in (2, 3, 20, 21, 22, 23)
- *Days in learning beyond learning planned end date (to ILR date if still in learning)* > [100]; and
- *Learning actual end date* is blank.

Ask the provider to check whether these learners are still in learning. It may be that they have achieved or withdrawn and the provider is yet to input the data. If they are still in learning, the provider must be able to evidence this if requested.

For this group of learners, identify those that left without achievement more than [100] days after their learning planned end date. Change the third filter to:

- *Learning actual end date* is not blank.

Again, significant numbers of learners meeting these criteria could indicate that the provider's initial assessment process is not sufficiently robust and you may need to report the issue to ESFA colleagues. It could indicate other issues that you may need to consider.

In all the above instances, any issues may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data<sup>34</sup>.

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<sup>34</sup> Section 3.1 of the *Provider Support Manual for 2018 to 2019*.

## 19A-505: Withdrawals and qualifying days for funding

*Funding models: 35, 36, 81*

*Lists learners and their learning aims where the learner withdraws (including temporary withdrawals due to an agreed break) from the learning aim close to the qualifying date for funded learning<sup>35</sup>.*

For funding purposes, we are interested in instances where learners withdraw from learning aims as soon as they have satisfied the qualifying period for funding.

Start by identifying learners that withdraw on the start date from learning aims with a planned duration of fewer than 14 days. To do this, filter on *Actual duration days* = 1. The provider can only claim funding if the learner participated in learning activity on that date and the provider must have evidence to support this. If the learner enrolled on the learning aim but failed to participate in any learning activity, the provider must delete the learning aim from the ILR.

Identify learners that withdraw from learning aims with a 'short' planned duration (between 14 and 167 days) and a 'long' planned duration (at least 168 days).

To do this, filter on *Actual duration days* between 14 and 28 and *Actual duration days* between 42 and 56 respectively, showing only those learners that have satisfied the qualifying period for funding.

For the learners identified, ask the provider for evidence to support the *Learning start date* and the *Learning actual end date*. The provider will need to make the necessary data adjustments where it cannot supply the evidence.

## 19A-506: Learning actual end dates

*Funding models: 35, 36*

*Summarises by learning actual end date the number of learners leaving learning aims without achievement during the 2018 to 2019 funding year to facilitate analysis of trends.*

This report provides a count of the number of learners leaving individual learning aims without achievement on each calendar date of the current funding year. To qualify for a

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<sup>35</sup> Paragraphs P222, EP206 and E171 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers, paragraph 71 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year* and, for carry-in apprenticeships, Paragraph A33 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

monthly payment, learners must be in learning on the last day of the month. This report enables a simple visual check to identify any systematic removal of learners on or just after the monthly census date. Check whether the number of learners leaving on the last date of each month or the first days of the month are disproportionately large compared to the rest of the month.

If there is an indication of this, use reports 19A-101 and 19A-103 to identify specific examples and follow these up with the provider.

Check whether there is a large number of learners withdrawing from learning aims on 1 August. Where providers find that learners withdrew from learning aims in a previous year, some record the *Learning actual end date* as 1 August, rather than recording the actual date that the learner withdrew. This is incorrect<sup>36</sup> and providers must review and correct any such instances. Again, use reports 19A-101 and 19A-103 to identify specific instances.

## 19A-507: Transferring learners

*Funding models: 35, 36, 81*

*Lists learners and learning aims recorded as 'transferred off' where there is no corresponding 'transferred on' learning aim within any funding model starting within a calendar month. This could aid the identification of inappropriate data management.*

*Completion status = 3 and Withdrawal reason = 40* means that the learner has withdrawn from the learning aim and at the same time has transferred to a new learning aim. The learning start date of the new learning aim may be slightly later than the learning actual end date of the 'transferred off' learning aim<sup>37</sup>. For the purposes of this report, we have used a calendar month as a reasonable period within which a new learning aim can be expected to have commenced.

Where a learning aim recorded as 'transferred off' has no corresponding 'transferred on' learning aim within a calendar month, the provider must be able to demonstrate that a transfer has taken place or correct the ILR by removing the value *Withdrawal reason = 40*.

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<sup>36</sup> Paragraph 378 of the *Provider Support Manual for 2018 to 2019*.

<sup>37</sup> Paragraphs 418 and 481 of the *Provider Support Manual for 2018 to 2019*.

## 19A-508: Learners resuming regulated learning aims

*Funding models: 35, 36, 81*

*Lists learners and learning aims where the learner has resumed the same regulated learning aim after a break in learning or having transferred from another provider.*

The report identifies any regulated learning aims flagged as a restart (*Restart indicator = 1*) and returns all records for the same learner with the same learning aim reference number.

It also identifies any instances where the same learning aim reference appears more than once for the same learner and none of the aims are flagged as a restart. These may include instances where the provider should have flagged them as a restart and you should feed this back to the provider as necessary for corrective action. By omitting the Restart indicator, the provider risks under-claiming funding because in such an instance, the funding calculation applies any funding adjustment to the achievement payment as well as the on programme element of the funding.

Where a learner restarts, the *Funding adjustment for prior learning* value is based upon the percentage difference between the original planned duration and the proportion of that time that they have already been in learning<sup>38</sup>.

Find examples of learners in the report with more than one record of the same learning aim. For each example, check the calculation of the *Funding adjustment for prior learning* field to see whether the provider is calculating it correctly as described above. If you identify any potential errors, provide specific examples so that the provider understands why it needs to check them all and correct them as applicable.

## 19A-509: Learners resuming non-regulated learning aims

*Funding models: 35, 36, 81*

*Lists learners and learning aims where the learner has resumed the same non-regulated learning aim after a break in learning or having transferred from another provider.*

The report identifies any non-regulated learning aims flagged as a restart (*Restart indicator = 1*) and returns all records for the same learner with the same learning aim reference number. It also identifies any instances where the same learning aim

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<sup>38</sup> Paragraph 306 of the *Provider Support Manual for 2018 to 2019*.



reference appears more than once for the same learner and none of the aims are flagged as a restart.

Given that these are non-regulated learning aims, it is possible that the learning aims are not restarts, but simply a new episode of non-regulated learning with the same learning aim reference number. In this instance, check whether this is how the provider agreed with the learner to deliver the learning activity, particularly where each non-regulated learning aim contains a range of hours. If the agreement with the learner was to deliver a single learning aim over a longer period, rather than multiple shorter episodes of learning, there may be an over-claim of funding.

There may be instances where the provider should have flagged learning aims as a restart and you should feed this back to the provider as necessary for corrective action. By omitting the *Restart indicator*, the provider risks under-claiming funding because in such an instance, the funding calculation applies any funding adjustment to the achievement payment as well as the on programme element of the funding.

Where a learner restarts, the *Funding adjustment for prior learning* value is based upon the percentage difference between the original planned duration and the proportion of that time that they have already been in learning<sup>39</sup>.

Find examples of learners in the report with more than one record of the same learning aim. For each example, check the calculation of the *Funding adjustment for prior learning* field to see whether the provider is calculating it correctly as described above. If you identify any potential errors, provide specific examples so that the provider understands why it needs to check them all and correct them as applicable.

## **19A-510: Breaks in learning where learning is not re-planned on return**

*Funding models: 35, 36, 81*

*Funding rules monitoring plan: FRM07*

*Lists learners and any learning aims recorded as a break in learning where the learner returns and the provider has not amended the learning planned end date to account for the time spent on the break in learning.*

The ESFA is monitoring learning aims with breaks in learning exceeding a year with no resumption.

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<sup>39</sup> Paragraph 306 of the *Provider Support Manual for 2018 to 2019*.

When a learner returns from a break in learning, the provider needs to plan the resumption in learning to account for the time spent on the break in learning. This means that learning aims will require revised learning planned end dates different to the original learning planned end date.

This report lists those restarted learning aims where the learning planned end date is the same as an earlier episode of learning in the same ILR. Query all such instances with the provider and, where the provider cannot justify learning planned end dates, it must make the necessary corrections.

## **19A-511: Long breaks in learning with no resumption**

*Funding models: 35, 36, 81*

*Funding rules monitoring plan: FRM08*

*Lists learners and any learning aims recorded as a break in learning where a year or more has elapsed with no resumption in learning.*

The ESFA is monitoring learning aims with breaks in learning exceeding a year with no resumption.

Where a learner agrees with the provider to take a break in learning, there must be evidence that the learner agrees to return and continue with the same learning aim, otherwise the provider must report the learner as having withdrawn. Whilst there is no defined length of an agreed break in learning, if a year has elapsed and the learning has not resumed, the provider should consider the likelihood of the learner returning and update the completion status of the learner as necessary.

This report may also identify under claims of funding where learners have resumed and the provider has not updated the ILR accordingly.

Check all learners listed and establish from the available evidence whether the existing value for *Completion status* is accurate. Where this is not the case, the provider must update its value accordingly.

## **19A-512: Early completions**

*Funding models: 35, 36, 81*

*Lists learning aims completed more than a month before the planned end date.*

This report is more indicative of possible issues with the provider's process rather than returning definitive errors.

For example, a large number of early completers could indicate a flaw in the provider's initial assessment process or the determination of planned durations.

The report contains three calculated fields:

- *Actual duration days*

This calculates the number of days taken to complete the learning aim. Filter or sort this column to identify those qualifications that the provider has delivered quickly.

- *Percent complete*

This calculates the proportion of the planned duration used to complete the learning aim. Filter or sort this column to identify those qualifications that the provider has delivered most proportionately quickly (smallest percentage completed).

- *Days early*

This calculates the number of days early that the learner has completed the learning aim. Filter or sort this column to identify those qualifications that learners have completed particularly early (largest number of days early).

In all of these cases, check whether learners have achieved early because they had relevant prior learning that the provider should have taken into account when calculating the value in the *Funding adjustment for prior learning* field of the ILR.

Some providers base learning planned end dates on a scheduled timetable of classes. Where the provider records learners as completing early, check that the learners actually completed the programme and did not withdraw. Check also that the provider is not using a standard learning planned end date for all learners, irrespective of the individual circumstances of each learner and learning aim.

## **19A-513: Completions without a full achievement**

*Funding models: 35, 36, 81*

*Lists learners and their learning aims where the learner has completed the learning aim but the outcome is not a full achievement.*

The provider may be under-claiming achievement funding where the learners have actually achieved the learning aim. However, ensure that learners have completed the learning activities leading to the learning aim and have not simply withdrawn.

Ask the provider to update these as appropriate, especially where learners completed some time ago, where it is reasonable to expect that the provider should know the learning outcome. There should not be significant volumes of unknown outcome information (*Outcome = 8*).

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data<sup>40</sup>.

## **19A-514: Retention**

*Funding models: 35, 36, 81*

*Lists learning aims and the number of funded learners that have neither withdrawn nor taken a break in learning as a proportion of the number of funded starts. The report does not count learning aims with a learning actual end date prior to 1 August 2018.*

Use this report when undertaking completeness testing. A disproportionate number of learning aims with a low dropout rate could indicate that the provider is not recording withdrawals in the ILR completely and accurately.

Identify learning aims with high retention rates and use reports 19A-101, 19A-102 and 19A-103 to identify the learners on these learning aims. Use learner files or registers to check that that all learners appear in the ILR.

## **19A-515: Learners with prior attainment level recorded as not known**

*Funding models: 35, 36, 70, 81*

*Identifies learners that have prior attainment "not known" recorded in the ILR and lists all of their learning aims.*

This report identifies learners for whom *Prior attainment* is 97 or 98. The provider should be collecting information on prior learning during the enrolment or initial assessment process, and it must record information on prior learning in the learning agreement where it affects the funding of any of a learner's learning aims.

If the provider records the reason for full- or co-funding in its MIS, it may be able to provide useful lists of all learning aims, for example, where it has claimed level 2 or 3 entitlement yet the *Prior attainment* is 97 or 98.

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<sup>40</sup> Section 3.1 of the *Provider Support Manual for 2018 to 2019*.

## 19A-516: Learning aims where the annual funding cap has been applied

*Funding model: 35*

*Limitation: Not available with ILR XML input*

*Lists all learning aims for learners where the funding calculation has applied the funding cap.*

*A funding cap applies to each learner and it applies across all adult skills budget provision except apprenticeships. The funding cap is £4,400 per learner per year, before any weightings or government contribution calculations are applied<sup>41</sup>.*

*The lower the value of the Cap factor, the greater the proportion of the learner's programme that is not being funded.*

Sort the *Cap factor* from smallest to largest. For heavily capped learners, check that their programme of learning aims on the ILR appears reasonable. It could be that the provider has input incorrect learning start dates or learning planned end dates, resulting in heavily compressed aims.

Providers are more likely to plan to deliver large aims such as Extended Diplomas over longer periods, such as over two funding years. If the provider has planned to deliver them over a shorter length of time such as only one year, it could be that this is because of prior learning, in which case the provider should have used the Funding adjustment for prior learning field to reduce funding.

## 19A-517: Generic postcodes

*Funding models: 35, 36, 99*

*Lists learners and their learning aims where one or more of the postcode prior to enrolment, current postcode and delivery postcode contain the generic value "ZZ99 9ZZ".*

The provider must return a *Postcode prior to enrolment* and a [Current] *Postcode* for all learners and a *Delivery location postcode* for all learning delivery. This means that null values can only appear in this report when you have used an XML file containing invalid entries.

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<sup>41</sup> Paragraph 65 of the *Adult education budget funding rates and formula 2018 to 2019*.

The provider can return a generic value for *Postcode prior to enrolment* for learners that were not resident in the UK prior to enrolment and for learners for whom their postcode is unknown. Note that generic values could result in an under-claim of area costs or disadvantage uplift. The provider can return a generic value for [Current] *Postcode* only where it is unknown.

Follow up any such entries with the provider to check whether it can correct any of them.

Follow up generic values for *Delivery location postcode* as these could result in an under-claim of area cost uplift. Note that a *Delivery location postcode* of “ZZ99 9ZZ” signifies provision delivered away from a learning centre, such as distance learning or e-learning.

## **19A-518: NI Numbers null, temporary or used for HMRC administrative purposes**

*Funding models: 35, 36, 81, 99*

*Lists learners where the National Insurance (NI) number field in the ILR contains no value, a temporary NI number or an NI number that contains a prefix that Her Majesty's Revenue and Customs (HMRC) uses for a specific administrative purpose.*

Providers should treat the *NI number*<sup>42</sup> field in the ILR as compulsory for apprentices as they must obtain an apprentice's NI number at the start of their programme. Providers should also collect it for learners in receipt of active benefits and learners referred to learning by Job Centre Plus. This report identifies learners in these groups where the use of the NI number field is as described above.

Temporary NI numbers contain the prefix “TN”, followed by the individual's date of birth in ddmmyy format and their gender as either “M” or “F”. Other prefixes that are, or have been, used by HMRC for administrative purposes include “OO”, “CR”, “FY”, “MW”, “NC”, “PP” and “PZ”.

You can find more information on these on the [HMRC website](#).

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<sup>42</sup> See the *Specification of the Individualised Learner Record for 2018 to 2019* for details of the *National Insurance number* ILR field.

## 19A-519: European Social Fund data for directly funded and match funding provision

*Funding models: 35, 36, 70*

*Returns a count of learners and their learning aims where the provider has not returned values for relevant ILR fields in a way that renders them useful for ESF match funding purposes.*

This report counts learners for whom the following ILR fields contain values indicating a response of not known or where a positive entry is not provided:

- *ULN = 9999999999* (restricted use)
- *Ethnicity = 99* (Not provided)
- *LLDD and health problem = 9* (No information provided by the learner)
- *Telephone number* is null. This must be provided for all learners within the ESF and adult skills funding models.
- Learners whose *Employment status on the day prior to starting learning* is 98 (Not known/not provided). The listing excludes such learners where either the learning aim started prior to 01/08/2012 or the learner's *Previous education indicator (PEI)* = 1 (Learner was in full time education or training prior to enrolment).
- *Household situation (HHS) = 98* (Learner has withheld this information)
- *Outcome type/code = OTH3* (Unable to contact learner) or *OTH4* (Not known).

In the case of employment status in particular, the absence of a useful value for the learner's employment status at the start of their programme or learning aim means that the ESFA is unlikely to be able to use the learner's funding as match.

The report outputs, by funding model, both the count of learners and the percentage of the population meeting each of these criteria. The availability of this report is to encourage providers to check all records where data useful for ESF match funding purposes is missing and potentially follow up with learners to ascertain a more positive response.

Note that this report does not lead to any funding errors. However, a significant number of records may lead to the conclusion that the provider is not fulfilling its contractual obligation in respect of providing accurate participant data for the ESF programme, particularly if there is evidence that the provider is not seeking responses from learners in respect of these ILR fields.

## 19A-520: Non-English postcodes

*Funding models: 35, 36, 70, 81, 99*

*Funding rules monitoring plan: FRM10*

*Lists learners and their learning aims where either their postcode prior to enrolment or their delivery location postcode indicates that they normally live or have their learning activity delivered in Scotland, Wales, Northern Ireland, Isle of Man or the Channel Islands.*

The ESFA is monitoring provision delivered outside England.

These notes relate to provision funded through the adult education budget (and to carry-in apprenticeship programmes) unless specifically stated otherwise.

Individuals that live in Scotland, Wales or Northern Ireland can travel to or reside in England to study or learn for specialist provision not available anywhere other than England. However, the ESFA does not expect numbers to be significant<sup>43</sup>.

For learning that takes place in the workplace, the ESFA will fund learners resident in Wales, Scotland or Northern Ireland whose main employment or normal place of work is in England<sup>44</sup>. Where an employer, based in the UK, bases their training provision only in England and this would include non-English residents, the ESFA will fund these learners, although it does not expect numbers to be significant<sup>45</sup>.

Learners ordinarily resident in the Isle of Man or the Channel Islands are ineligible for ESFA funding, unless they are also ordinarily resident in England<sup>46</sup>.

Use *Postcode prior to enrolment region* and *Delivery location postcode region* to determine whether learners are eligible for funding and whether the numbers of learners meeting the criteria above are significant.

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<sup>43</sup> Paragraph 59 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year*.

<sup>44</sup> Paragraph 60 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year*.

<sup>45</sup> Paragraph 61 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year*.

<sup>46</sup> Paragraph 53.5 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year*.



With the exception of apprenticeship programmes, the ESFA will not fund any learning provision delivered outside England<sup>47</sup>. In the case of carry-in apprenticeships, providers must obtain permission from the ESFA before delivering provision outside England<sup>48</sup>. Use the *Delivery location postcode region* to identify any such instances and check with the provider as to whether it has approval from the ESFA.

Delivery outside England is eligible for funding if it forms less than 50% of an apprenticeship programme starting on or after 1 May 2017<sup>49</sup>. For any records listed where *Funding model* = 36, check with the provider the details of the delivery location of the programme. The value recorded in the *Delivery location postcode* field in the ILR must reflect the location at the start where all or the majority of learning is to be delivered, so a non-English postcode will not automatically invalidate funding, but investigation could identify that the provider has recorded an incorrect value.

## 19A-521: All HEFCE funded learners

*Funding models: 35, 36, 81*

*Identifies learners with learning aims funded by HEFCE and lists them together with any learning aims for which they are being funded either within the adult skills funding model, within any apprenticeship standard or within an apprenticeship framework starting on or after 1 May 2017.*

Check whether there are any similarities between the learning aims funded by HEFCE and the ESFA that indicate that a funding adjustment could be applicable.

For apprenticeships starting on or after 1 May 2017, check that the learner is not enrolled on a higher education (HE) programme when they start their apprenticeship. In this situation, the apprenticeship is not eligible to be funded from an employer's digital account or by co-investment<sup>50</sup>.

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<sup>47</sup> Paragraph 60 of the *Adult education budget funding and performance-management rules for the 2018 to 2019 funding year* and paragraph 24 of the *Advanced Learner Loans funding and performance management rules for the 2018 to 2019 funding year*.

<sup>48</sup> Paragraph A29 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

<sup>49</sup> Paragraphs P63.8, EP63.6 and E55.6 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers.

<sup>50</sup> Paragraphs P63.3, EP63.3 and E55.3 of the respective *Apprenticeship funding rules, August 2018 to July 2019* for training providers, employer-providers and employers.

## Review notes: 16 to 19 ('Y') reports

These reports contain records relating to learners and learning aims within funding model 25. They must be output both for assurance reviews of provision funded through the adult education budget and for 16 to 19 provision.

For assurance reviews of provision funded through the adult education budget only, you can use report 19B-001 first to check whether the reports contain any records before outputting them. When reviewing the reports, start by filtering on *Source of funding* = 105 to identify adult skills funded provision within funding model 25.

For assurance reviews of 16 to 19 study programmes, start by filtering on *Source of funding* = 107 to identify provision funded through 16 to 19 study programme funding.

### 19Y-101: All 16 to 19 funding model learners and learning aims

*Lists all 16 to 19 funding model learners and their learning aims so that the user can filter on any specific learning aim(s).*

This is a complete listing of all learners and learning aims within the 16 to 19 funding model (FM25). Review of this report is not required but the report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

### 19Y-102: Planned hours split by qualification hours and non-qualification hours

*Lists all learners (and the learning aims within their study programmes), including the number of qualification (planned learning) hours and non-qualification (planned employability, enrichment and pastoral) hours and, for each learner, calculates the proportion of the study programme that is planned to be delivery of qualification hours.*

The ESFA expects that most of its 16 to 19 learners on study programmes should be spending most of their funded time undertaking qualification activity.

By sorting or filtering on the lowest values for *Qualification hours (% of overall programme)*, raise with the provider any instances where learners are spending most of their time undertaking non-qualification hours. Do not include programmes such as traineeships, where non-qualification activity (e.g. work experience) could form a substantial part of the programme.

Look for instances where learners with 100% qualification hours are enrolled on non-regulated learning aims, including work experience. Since these learning aims represent

non-qualification hours, there should be a positive value in the ILR for relevant learners' *Planned employability, enrichment and pastoral hours*.

## **19Y-103: Core aims**

*Identifies all individual core aims in the ILR and lists the learners enrolled on each one.*

The core aim is the most important or central element of a learner's study programme, around which the rest of the programme is built. It will usually be the component with the largest amount of timetabled activity associated with it.

The ESFA uses the core aim to determine whether the programme is academic or vocational, whether the learner is retained on the programme and for calculating the programme cost weighting. As such, it is important that the provider determines the most appropriate learning aim as the core aim<sup>51</sup>.

Check that providers have reviewed this report and are content that they have reported the correct core aims in the ILR.

In particular, look for core aims such as GCSEs and functional skills, as it is less likely that these aims will form the most substantial, central element of a learner's study programme, around which the provider builds the rest of the programme.

Use the *OfQualGlhMin* and *OfQualGlhMax* fields in the report as a guide to the size of the qualification. It may not be appropriate for learning aims with relatively small values in these fields to be determined the core aim, particularly where learners have withdrawn from other more substantial learning aims. Use report 19Y-101 to check the full study programme for relevant learners and query with the provider any potential anomalies.

## **19Y-104: Learning aims by delivery postcode**

*Summarises the volume of learning aim enrolments in the ILR by delivery location postcode.*

Review of this report is not required but the report may be useful for identifying the extent of a potential issue where you identify funding errors that could be ring-fenced according to a particular delivery location, and you need to undertake additional testing.

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<sup>51</sup> Paragraphs 48 to 53 of the *Funding guidance for young people 2018 to 2019: Funding rates and formula*.

## 19Y-105: Funding by subcontractor

*Summarises by subcontractor and funding line the value of ESFA funded 16 to 19 provision delivered by a subcontractor (only outputs count of learners for XML input).*

Since the ESFA funds 16 to 19 provision at a learner level, whilst providers record subcontracted provision at learning aim level in the ILR, it is not possible to show accurately the value of provision subcontracted to a subcontractor. This is because a subcontractor may not necessarily deliver all elements of a learner's study programme. Consequently, this report is only a guide to the value of subcontracted provision.

Where the ESFA holds and has provided information relating to subcontractors, compare it to this report to gauge accuracy and completeness.

## 19Y-201: Full time learners on short study programmes

*Lists learners on a full time study programme (i.e. 540 hours or more) and the learning aims within the programme where the programme has a planned duration of fewer than 24 weeks.*

*The planned duration of the programme is derived from the sum of the values in the ILR fields Planned learning hours and Planned employability, enrichment and pastoral hours.*

The purpose of the report is to identify full-time learners on compressed study programmes.

One of the most common errors that providers make is omitting to update the values in the ILR fields *Planned learning hours* and *Planned employability, enrichment and pastoral hours* for continuing learners at the start of a new teaching year<sup>52</sup>. You may find that learners appear on this report for this reason.

You can sort records on *Total planned hours* so that you can easily identify those study programmes with the highest number of hours. You can also sort records on *Programme planned duration days in year* so that you can easily identify study programmes that the provider plans to deliver in the shortest time. Alternatively, if you prefer to keep the report in alphabetical order by learner name, simply filter on these fields.

One of the ESFA's principles of funding learning is that each learner's planned hours are realistic, deliverable and can be evidenced to confirm that the activity is timetabled and exists. Check whether it is feasible to deliver programmes over such short periods,

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<sup>52</sup> Paragraphs 206 and 207 of the *Provider Support Manual for 2018 to 2019*.

investigating the circumstances. There may be patterns of delivery for specific types of programmes that the provider systematically delivers over short periods.

Check all or a sample of learners to learning agreements, timetables and registers to ensure that the provider has accurately recorded in the ILR the details of the planned programmes that it is delivering.

## **19Y-202: Learners with high weekly study hours**

*Lists learners shown as having high weekly guided learning hours.*

*The report establishes whether a learner's study programme exceeds an average of 35 hours per week during the planned period of the programme.*

Where the average number of hours per week is high, there is a risk that the planned programme may not be realistic and deliverable.

One of the most common errors that providers make is omitting to update the values in the ILR fields *Planned learning hours* and *Planned employability, enrichment and pastoral hours* for continuing learners at the start of a new teaching year<sup>53</sup>. You may find that learners appear on this report for this reason.

You can sort records on *Average weekly planned hours in year (programme)* so that you can easily identify those study programmes with the highest average weekly planned hours in the current teaching year. Alternatively, if you prefer to keep the report in alphabetical order by learner name, simply filter on this field to identify the highest values.

Check to ensure that data are correct for each programme, selecting all or a sample of learners and their learning aims to reconcile to supporting evidence held.

## **19Y-203: Learners with high planned hours in-year**

*Lists learners on a study programme with a planned annual duration of at least 620 hours.*

*Note that the values in the ILR fields *Planned learning hours* and *Planned employability, enrichment and pastoral hours* are the planned hours in the funding year in question, not the total number of hours for the whole programme if it spans more than one funding year.*

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<sup>53</sup> Paragraphs 206 and 207 of the *Provider Support Manual for 2018 to 2019*.

Annual programmes of more than 620 study hours are unusual and providers should review the accuracy of the hours recorded for learners contained in this report.

This report will assist in identifying learners where the provider has inadvertently returned planned hours for the whole duration of the learner's programme rather than the planned hours in the funding year only.

Check to ensure that data are correct for each programme, selecting all or a sample of learners and their learning aims to reconcile to supporting evidence held.

## **19Y-204: Learners with qualification hours for non-qualification programmes**

*Identifies (and lists all learning aims for) learners where qualification hours are recorded for study programmes containing only generic learning aims.*

Where a learner's study programme contains planned qualification hours, it must contain regulated provision<sup>54</sup>.

Study programmes listed contain planned qualification hours but only non-regulated provision. The provider must have incorrectly recorded details of learning aims or planned qualification hours for the learners listed and must make the necessary corrections to the data.

## **19Y-205: Funded hours thresholds**

*Identifies learners whose recorded study hours are within 5% of the previous funding band's maximum number of hours and lists all of the learning aims within their programme.*

The ESFA's funding rate per learner depends on the range of hours within which the number of study hours in the learner's study programme falls. In particular, the maximum numbers of hours for the four part-time bands (1, 2, 3 and 4b) are 279, 359, 449 and 539 respectively. This report identifies learners that have exceeded these thresholds by no more than 5%, taking them into the next funding band.

Where there are large numbers of learners in this report, check that the provider holds evidence to support the number of planned study hours, including evidence of participation on all reported learning aims.

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<sup>54</sup> Paragraph 76 of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

## 19Y-206: Learners on study programmes of no more than four weeks' duration

*Identifies learners on short study programmes and lists all of the learning aims within their programme.*

Learners recruited on short programmes are ineligible for ESFA funding if already enrolled with another provider on ESFA funded provision or full time HE provision<sup>55</sup>. Providers should be able to demonstrate that they are delivering the study hours recorded on the ILR and that they have checked that such learners are not being funded elsewhere on longer programmes.

Note that study programmes of fewer than two weeks' duration are not eligible for ESFA funding<sup>56</sup>.

## 19Y-207: Withdrawals and qualifying days for funding

*Identifies learners that have withdrawn from programmes where the actual duration is close to the minimum number of qualifying days for funded learning<sup>57</sup>.*

For learners on 16 to 19 study programmes, it is the date on which the learner withdraws from the study programme, rather than any individual learning aim, that determines whether the learner has reached the start qualifying date for funding.

For funding purposes, we are interested in instances where learners withdraw from study programmes soon after satisfying the qualifying period for funding. These are:

- programmes of at least two weeks' and fewer than 24 weeks' planned duration, with fewer than 450 planned hours, where the actual duration is at least 14 days,
- programmes of at least 24 weeks' planned duration or 450 or more planned hours, where the actual duration is at least 42 days.

Identify learners that withdraw from such programmes by filtering on *Actual duration days* between 14 and 28 and *Actual duration days* between 42 and 56 respectively.

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<sup>55</sup> Paragraph 85i of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

<sup>56</sup> Paragraph 85f of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

<sup>57</sup> Paragraphs 57 to 60 and Table 4 of the *Funding guidance for young people 2018 to 2019: Funding rates and formula*.

For the learners identified, ask the provider for evidence to support the *Learner start date (programme)* and the *Learner actual end date (programme)*. The provider will need to make the necessary data adjustments where it cannot supply the evidence.

## **19Y-208: Withdrawals and qualifying days for Condition of Funding**

*Identifies learners that have withdrawn from condition of funding learning aims where the actual duration is close to the minimum number of qualifying days for funding at the learning aim level.*

For a learner to count as enrolled on a learning aim that meets the condition of funding, the learner must meet the qualifying period for funding for the individual learning aim<sup>58</sup>.

For condition of funding purposes, we are interested in instances where learners withdraw from learning aims that meet the condition of funding soon after satisfying the qualifying period for funding. These are:

- learning aims of at least two weeks' and fewer than 24 weeks' planned duration, where the actual duration is at least 14 days,
- learning aims of at least 24 weeks' planned duration, where the actual duration is at least 42 days.

Identify learners that withdraw from such learning aims by filtering on *Actual duration days* between 14 and 28 and *Actual duration days* between 42 and 56 respectively.

For the learners identified, ask the provider for evidence to support the *Learning start date* and the *Learning actual end date*. The provider will need to make the necessary data adjustments where it cannot supply the evidence.

## **19Y-209: Completions, withdrawals or transfers within first six weeks**

*Identifies (and lists all learning aims for) learners that complete, withdraw or transfer within the first six weeks of a study programme that is planned to take between two and 24 weeks and that consists of fewer than 450 planned hours.*

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<sup>58</sup> Paragraph 6 of Annex D of the *Funding guidance for young people 2018 to 2019: Funding regulations*.



The qualifying period for funding is two weeks for all study programmes with fewer than 450 planned hours and planned to take between two weeks and 24 weeks.

However, where learners withdraw or transfer from learning aims within the first six weeks, providers must amend the planned hours with actual hours delivered<sup>59</sup>.

Also, where learners complete learning aims and study programmes within the first six weeks, providers should give due consideration as to whether the planned hours were accurately calculated and amend where appropriate.

For the learners identified, check whether the provider has made the necessary amendments to planned hours for withdrawals and transfers and, for completions, whether the planned hours were accurately calculated.

## **19Y-210: Learning aims delivered in one day**

*Identifies learners enrolled on learning aims delivered in one day.*

Providers must report learning aims in the ILR if there is evidence that learning is taking or has taken place. They must not report learning aims for learners that enrol on a learning aim but do not attend a single episode of learning.

The provider may have input an incorrect *Learning start date* and/or *Learning actual end date*.

Unless the provider holds evidence to confirm the accuracy of the ILR data, it must make the necessary amendments. This includes removing the learning aim from the ILR completely if the learner did not participate in any learning activity.

## **19Y-211: Learner numbers by funding band and by planned duration in weeks**

*Summarises the number of learners by funding band and planned duration in weeks to facilitate review of planned hours.*

This report helps to identify where planned hours recorded in the ILR may be harder to evidence as "realistic and deliverable"<sup>60</sup>.

The expectation is that the shorter the planned duration of the study programme, the lower the band and the associated planned hours. Check for higher volumes of learners

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<sup>59</sup> Paragraphs 34 to 36 of the *Funding guidance for young people 2018 to 2019: Funding rates and formula*.

<sup>60</sup> Paragraphs 13e and 72 of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

in the areas of the table that reflect potentially more unrealistic and/or undeliverable study programmes. These will be predominantly towards the top and to the left of the table.

For example, learners with a band 5 study programme (> 540 hours) and a planned duration shorter than 16 weeks will be exceeding an average of 35 weekly planned hours, as per report 19Y-202.

Where there is a disproportionately high volume of learners in this area of the table, ask the provider to demonstrate that such study programmes are realistic and deliverable, supported by evidence that the eligible activity offered to learners is timetabled and exists<sup>61</sup>. You can filter report 19Y-101 as necessary to identify the learners affected, although you will need to add a formula to calculate the planned duration in weeks.

There could also be unrealistic study programmes towards the bottom and to the right of the table, where the study programme may have a particularly long planned duration for the number of planned hours. Particularly high volumes of these could indicate possible errors in the recording of planned hours or planned durations in the ILR.

## **19Y-212: Learners in learning beyond their learning planned end date**

*Lists learners and their learning aims where, as at the date on which the provider prepared its ILR data return, the learner was still in learning and had passed their planned end date by at least 30 days.*

This report identifies those learners that have passed their learning planned end date by at least 30 days and, as such, should have completed their learning aim.

Ask the provider to check whether these learners are still in learning, particularly where the planned end date is some time ago. It may be that they have achieved or withdrawn and the provider is yet to input the data.

If they are still in learning, the provider must be able to evidence this if requested.

Filter the *Learning planned end date* on “is less than or equal to” and choose a date for which it is reasonable to expect that most learners should have completed (you could use 31/07/2018 although the further into the 2018 to 2019 funding year the review is, the more recent the date that you could reasonably use). Where the numbers of learners with learning planned end dates prior to this date are significant, this could be due to the

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<sup>61</sup> Paragraph 72 of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

quality of the provider's initial assessment process and you may need to report the issue to the ESFA territorial team.

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data<sup>62</sup>.

## 19Y-213: Transferring learners

*Lists learners and learning aims recorded as 'transferred off' where there is no corresponding 'transferred on' learning aim, within any funding model, starting within a calendar month. This could aid the identification of inappropriate data management.*

*Completion status = 3 and Withdrawal reason = 40 means that the learner has withdrawn from the learning aim and at the same time has transferred to a new learning aim. The learning start date of the new learning aim may be slightly later than the learning actual end date of the 'transferred off' learning aim<sup>63</sup>. For the purposes of this report, we have used a calendar month as a reasonable period within which a new learning aim can be expected to have commenced.*

Where a learning aim recorded as 'transferred off' has no corresponding 'transferred on' learning aim within a calendar month, the provider must be able to demonstrate that a transfer has taken place or correct the ILR by removing the value *Withdrawal reason = 40*.

## 19Y-214: Early completions

*Lists learning aims completed more than a month before the planned end date.*

This report is more indicative of possible issues with the provider's process rather than returning definitive errors.

For example, a large number of early completers could indicate a flaw in the provider's initial assessment process and inaccurate recording of learning planned end dates.

The report contains the following calculated fields:

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<sup>62</sup> Section 3.1 of the *Provider Support Manual for 2018 to 2019*.

<sup>63</sup> Paragraph 418 of the *Provider Support Manual for 2018 to 2019*.

- *Actual duration days*

This calculates the number of days taken to complete the learning aim. Filter or sort this column to identify those qualifications that the provider has delivered quickly.

- *Percent complete*

This calculates the proportion of the planned duration used to complete the learning aim. Filter or sort this column to identify those qualifications that the provider has delivered most proportionately quickly (smallest percentage completed).

- *Days early*

This calculates the number of days early that the learner has completed the learning aim. Filter or sort this column to identify those qualifications that learners have completed particularly early (largest number of days early).

- *Planned hours per actual week in year (programme)*

This calculates the average number of planned hours that must have been delivered per week in order to complete the programme early. Filter or sort this column to identify instances where the number of hours delivered per week appears unrealistic or undeliverable.

Sometimes, providers base learning planned end dates on a scheduled timetable of classes. Where the provider records learners as completing early, check that the learners actually completed the programme and did not withdraw. Check also that the provider is not using a standard learning planned end date for all learners, irrespective of the individual circumstances of each learner and learning aim.

## **19Y-215: Completions without a full achievement**

*Lists learners and their learning aims where the learner has completed the learning aim but the outcome is not a full achievement.*

The provider may be under-reporting achievements where the learners have actually achieved their learning aims. However, ensure that learners have completed the learning activities leading to the learning aim and have not simply withdrawn.

Ask the provider to update these as appropriate, especially where learners completed some time ago, where it is reasonable to expect that the provider should know the learning outcome. There should not be significant volumes of unknown outcome information (*Outcome = 8*).

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return.

In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data<sup>64</sup>.

## **19Y-216: Traineeships with incorrect or no work placement aims**

*Identifies traineeships containing no work placement aims and lists all component aims.*

A traineeship must include a work placement. There is a single learning aim reference number, ZWRKX001, that the provider can use to report work placements in the ILR<sup>65</sup>.

If there is no work placement reported in the ILR, check the learning agreement to confirm whether a work placement was planned to take place at all. If it was, there may be reasons why the provider has not reported it in the ILR. For example, the employer may have withdrawn the placement or the learner may have left before the placement started. If there was no placement planned, it is not a traineeship programme and the provider must correct the ILR as applicable.

Note that where a learner leaves the traineeship programme before starting a planned work placement, the provider must remove the work placement from the ILR and assign another learning aim as the core aim, recorded as withdrawn<sup>66</sup>.

## **19Y-301: Learners under 16**

*Lists learners, and their learning aims, where they are aged under 16 on 31 August in the relevant funding year, excluding learners aged 14 to 16 and flagged as directly funded in FE.*

In respect of ESFA funding, if the learner is 15 but has started a full level 3 programme after their official school leaving date, this is acceptable without individual approval from the ESFA if they hold qualifications at least equivalent to a full level 2<sup>67</sup>. If this is the case, there is nothing to raise with the provider.

The report could contain learners aged 14 to 16 and flagged as electively home educated, using the code value of 321 in the related Learning Delivery FAM Type *LDM*

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<sup>64</sup> Section 3.1 of the *Provider Support Manual for 2018 to 2019*.

<sup>65</sup> Paragraph 674 of the *Provider Support Manual for 2018 to 2019*.

<sup>66</sup> Paragraph 682 of the *Provider Support Manual for 2018 to 2019*.

<sup>67</sup> Paragraph 48 of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

*(Learning delivery monitoring)*. Providers must be able to demonstrate that such learners are electively home educated if requested.

Follow up any other learners appearing on this report to confirm whether they are eligible for ESFA funding. This may involve checking for ESFA approvals.

## **19Y-302: Learner difficulty/disability inconsistency**

*Lists learners and their learning aims where LLDD and High needs student (HNS) field values are inconsistent.*

*LLDD and health problem indicator = 1 (Learner considers himself or herself to have a learning difficulty and/or disability and/or health problem) & there is no Learner FAM type HNS.*

*LLDD and health problem indicator in (2, 9) (Learner does not consider himself or herself to have a learning difficulty and/or disability and/or health problem or not known) & Learner FAM type/code HNS = 1.*

It does not necessarily follow that learners that are flagged as HNS will deem themselves to have a learning difficulty, disability or health problem and vice versa.

However, providers can use this report to check for completeness of its recording of learners with HNS.

## **19Y-303: Non-English postcodes**

*Lists learners and their learning aims where their postcode prior to enrolment indicates that they normally live in Scotland, Wales, Northern Ireland, Isle of Man or the Channel Islands.*

This report identifies potentially ineligible learners.

The ESFA usually regards a provider's normal recruitment area as the area in which the provider is physically situated and it expects this to take account of learners' normal travel to learn patterns. This may include parts of Scotland or Wales where a provider is situated close to the border with England. The ESFA does not expect providers to recruit entire groups of learners from outside their local area and they must seek prior permission from the ESFA to enrol such groups of learners.

There may be exceptional circumstances where individual Scottish or Welsh learners may travel to or reside in England to study or learn for specialist provision not available locally.

The ESFA expects some local areas within Scotland and Wales to form part of providers' normal recruitment areas and ESFA territorial offices will agree these with providers.

Check that the ESFA and the provider have reached such an agreement for learners on this report.

Learners living in the Isle of Man or the Channel Islands are ineligible for funding<sup>68</sup>.

For learners that turn out to be ineligible, the provider must make the necessary data corrections, reporting the provision as non-funded or removing the learners from the ILR.

## **19Y-304: Generic postcodes**

*Lists learners and their learning aims where either or both of the postcode prior to enrolment or current postcode contain the generic value “ZZ99 9ZZ”.*

The provider must return a *Postcode prior to enrolment* and a [Current] *Postcode* for all learners. This means that null values can only appear in this report when you have used an XML file containing invalid entries.

The provider can return a generic value for *Postcode prior to enrolment* for learners that were not resident in the UK prior to enrolment and for learners for whom their postcode is unknown. Note that generic values could result in an understatement of future area cost uplift or disadvantage funding. The provider can return a generic value for [Current] *Postcode* only where it is unknown.

Follow up any such entries with the provider to check whether it can correct any of them.

## **19Y-305: All HEFCE funded learners**

*Identifies all learners with learning aims funded by HEFCE funding and lists them together with any learning aims for which they are being funded within the 16 to 19 funding model.*

Learners undertaking full time HE programmes are ineligible for ESFA funded 16 to 19 provision, unless specific exceptions apply<sup>69</sup>. In addition, the ESFA does not fund FE qualifications or other programmes for groups of HE students<sup>70</sup>.

For any learners on this report, check whether they are eligible for the ESFA funded provision listed.

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<sup>68</sup> Paragraph 37 of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

<sup>69</sup> Paragraphs 33 and 34 of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

<sup>70</sup> Paragraph 57 of the *Funding guidance for young people 2018 to 2019: Funding regulations*.

## Review notes: Cross-ILR ('X') reports

These reports contain records relating to learners and learning aims across two separate ILRs, within all funding models. The [Cross-ILR reporting](#) section contains more information on the background to these cross-ILR reports. This section describes the report output and possible uses.

### 19X-001: Funding reconciliation

*Summarises the nature and value of amendments between two ILRs in the same funding year.*

This report option is available only for two ILRs relating to the same provider and the same funding year.

This provides a reconciliation statement to assist auditors in finalising funding audits, particularly in colleges, identifying data amendments and subsequent funding changes between two ILRs and enabling auditors to follow up areas where any additional assurance work is required on any specific learners and learning aim.

Running this option results in the output of a summary reconciliation statement (see working paper B1 of the ESFA's assurance work programme) and 19 supplementary reports containing detailed listings, by learner and learning aim, of the differences between the two ILRs. The total value of reported funding in each report is summarised in the reconciliation statement, except where stated. These reports are:

- *19X-001-01: Learners added to ILR*
- *19X-001-02: Learners removed from ILR*
- *19X-001-03: Learning aims added to ILR for existing learners*
- *19X-001-04: Learning aims removed from ILR for existing learners*
- *19X-001-05: Achievements added to the ILR (FM35)*  
Total value of achievement payments (and accompanying balancing payments) and on programme payments only.
- *19X-001-06: Completions added to the ILR (FM36)*  
Total value of FM36 apprenticeship completion payments only.
- *19X-001-07: Withdrawals added to the ILR (All adult)*
- *19X-001-08: Other changes affecting programme funding (All adult)*  
Total value of on programme payments, balancing payments, achievement



payments, core Government contributions, FM36 apprenticeship instalments and FM36 apprenticeship uplifts only.

- *19X-001-09: Changes to additional payments (FM36)*  
Total value of FM36 additional payments only.
- *19X-001-10: Changes to incentive payments (FM81)*  
Total value of 16 to 18 year old apprentice incentive payments, small employer incentive payment and completion incentive payments only.
- *19X-001-11: Changes to job outcome payments (FM35)*  
Total value of employment outcome payments only.
- *19X-001-12: Increases in learning support funding (All adult)*  
Total value of learning support payments only.
- *19X-001-13: Reductions in learning support funding (All adult)*  
Total value of learning support payments only.
- *19X-001-14: Movements in employer types (FM36)*
- *19X-001-15: Withdrawals added to the ILR (FM25)*
- *19X-001-16: Increases in funding due to changes in planned hours (FM25)*
- *19X-001-17: Reductions in funding due to changes in planned hours (FM25)*
- *19X-001-18: Other changes affecting funding (FM25)*
- *19X-001-19: Movements between funding models*

Together, these supplementary reports should provide a comprehensive record of the funding differences between the two ILRs, enabling you to follow up any specific change if necessary, particularly where there is a significant change in value for any funding attribute.

## **19X-002: Changes to data and funding between ILRs**

*For each matched learner and learning aim record, lists ILR fields and other attributes where values have changed, together with those values and any impact on funding.*

This report is available only for two ILRs relating to the same provider and the same funding year.

This assists auditors in finalising funding audits, identifying data amendments and funding changes between two ILR returns in the same funding year.

You can use this report to look up individual learners and learning aims. The report shows all the ILR, derived and calculated fields that have changed in value between the two ILRs, enabling you to check whether providers have made the necessary amendments to the ILR following an assurance visit. It also enables you to establish the change in funding as a result of the data amendments, facilitating the calculation of funding errors.

It could be that providers make more data amendments to a learner or learning aim record than those specifically required following an assurance review. Where more than one data amendment has an impact on funding, this could mean that it is more difficult to ascertain the change in funding that is solely due to the finding from the assurance review.

To assist with this, auditors can use the *Learner viewer* facility within PDSAT. See the notes below for more details.

## **19X-003: Continuance between ILRs**

*Identifies matching records as well as learners and learning aims with no corresponding match in the other ILR, and shows data amendments between the two sets of records.*

This report option is available for any two ILRs, irrespective of provider and funding year. It is advisable to have a clearly defined objective when comparing ILRs for two different providers.

This report seeks to identify instances of continuance in learners and learning aims between two ILRs by matching equivalent records, and identifying those learners and learning aims that have no match in the other ILR. Within a funding year, the general expectation is that the ILR will grow, with the addition of new learners and learning aims over time. Moreover, learners reported as continuing in the final ILR of a funding year must appear in the following year's ILR, subject to specific exceptions<sup>71</sup>.

Learners and learning aims should appear in the ILR only once the learning activity has commenced. Therefore, providers should not routinely need to remove learners and learning aims from the ILR. Continuance reports enable identification and investigation of any removals.

Whilst subsequent ILRs will naturally include new learners and learning activity, continuance reports enable review of such additions for timeliness. Within the matched records, continuance reports enable review of data amendments for accuracy.

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<sup>71</sup> Appendix B, *Specification of the Individualised Learner Record for 2018 to 2019*.

Running this report option results in the output of the following five continuance reports. The examples of use described are not exhaustive.

- *19X-003-01: Learners in first ILR that do not appear in second ILR, together with all their learning aims*  
This report lists all learners removed from the ILR, enabling follow-up with the provider to ascertain the reasons. This report can be useful in considering the completeness of the ILR.
- *19X-003-02: Learners in second ILR that do not appear in first ILR, together with all their learning aims*  
Providers will routinely add learners and learning aims to the ILR. According to data management principles relating to timeliness, providers must record new starts in the ILR within two reporting months of their learning start date. This report lists all learners added to the ILR, enabling follow-up with the provider to ascertain the reasons for any late notified starts.
- *19X-003-03: Learning aims in first ILR that do not appear in second ILR for learners appearing in both ILRs*  
For learners that appear in both ILRs, this report lists all learning aims removed from the ILR, enabling follow-up with the provider to ascertain the reasons. This report can be useful in considering the completeness of the ILR.
- *19X-003-04: Learning aims in second ILR that do not appear in first ILR for learners appearing in both ILRs*  
Providers will routinely add learning aims to the ILR. According to data management principles relating to timeliness, providers must record new starts in the ILR within two reporting months of their learning start date. This report lists all learning aims added to the ILR, enabling follow-up with the provider to ascertain the reasons for any late notified starts.
- *19X-003-05: All matched learners and learning aims*  
This report lists all learners and learning aims matched between the two ILRs. Every other pair of matching records is shaded to ease identification of such records. The report identifies any fields containing values that change between the two ILRs using a reddish coloured cell. Use this report, for example, to identify changes to a learner's record or groups of learners with changes to specific fields.

## **19X-004: Changes to learning planned end dates between funding years**

*Identifies learning aims that appear in the ILR in two funding years where the learning planned end date differs between funding years.*

This report is available for two ILRs relating to different funding years, irrespective of provider. It is advisable to have a clearly defined objective when comparing ILRs for two different providers.

Providers must not amend the *Learning planned end date* once it is set unless it is found to be incorrect due to an administrative error<sup>72</sup>. Moreover, once the *Learning planned end date* is set within the R14 hard close, providers must not change it in the following year's ILR. For learners continuing into a subsequent funding year, providers can change the *Learning planned end date* only by withdrawing and restarting the learning aim with the corrected details<sup>73</sup>. This applies only to correcting data found to be incorrect due to administrative error and not for changes in circumstances such as illness, slow progress or unemployment.

This report lists all instances where the provider changes a learning aim's *Learning planned end date*. Ascertain the reasons for such changes. If there is no justification for the change, the provider must amend the data back to the original value. If the new value is justified, the provider may still need to process the change properly to ensure the correct impact on funding and other statistics such as achievement rates.

## **19X-005: Changes to learning actual end dates between funding years**

*Identifies learning aims recorded with a learning actual end date in one funding year where the provider continues to return the learning aim in a subsequent funding year but with a different learning actual end date.*

This report is available for two ILRs relating to different funding years, irrespective of provider. It is advisable to have a clearly defined objective when comparing ILRs for two different providers.

Where the *Learning actual end date* is set within the previous year's R14 hard close and the provider continues to return the learning aim in the current year's ILR, it must not change the *Learning actual end date*<sup>74</sup>. Where a learner undertakes a learning aim, finishes learning, takes the final assessment and fails, the provider must close the learning aim and record it as not achieved (*Outcome* = 3). Should the learner subsequently require further support or additional learning to pass the assessment, this will require a new learning aim to be recorded as a restart with a *Funding adjustment for*

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<sup>72</sup> Paragraphs 93, 375, 385, 394, 396 and 397 of the *Provider Support Manual for 2018 to 2019*.

<sup>73</sup> Paragraphs 383 and 384 of the *Provider Support Manual for 2018 to 2019*.

<sup>74</sup> Paragraph 375 of the *Provider Support Manual for 2018 to 2019*.

*prior learning* to account for the new learning required to pass the resit. The provider must not amend the originally closed learning aim.

This report lists all instances where the provider changes a learning aim's *Learning actual end date*. Ascertain the reasons for such changes. If there is no justification for the change, the provider must amend the data back to the original value. If the new value is in the current funding year and is justified, the provider will still need to correctly process the change<sup>75</sup> to ensure the correct impact on funding and other statistics such as achievement rates.

## **19X-006: Continuing learners that do not appear in the following year's ILR**

*Identifies learning aims that appear in the ILR in one funding year as continuing but do not appear in the ILR for the subsequent funding year.*

This report is available for two ILRs relating to different funding years, irrespective of provider. It is advisable to have a clearly defined objective when comparing ILRs for two different providers.

Learning aims recorded in the previous year's R14 ILR as continuing must be included in the subsequent year's ILR (subject to minor exceptions<sup>76</sup>). Where providers omit continuing learning aims from a subsequent year's ILR, the ESFA will treat the learning aims as withdrawn in the qualification achievement rates (QAR). It may also result in an under-claim of funding.

You can compare a current funding year ILR to the final R14 ILR from the previous funding year to identify all learners and learning aims reported as continuing that no longer appear in the ILR, and ascertain the reasons with the provider.

### **Learner viewer: Funding breakdown**

*For each matched learner and learning aim record, displays monthly funding values for each funding attribute, where there is at least one non-zero value in either ILR return.*

This feature is available only for two ILRs relating to the same funding year.

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<sup>75</sup> Paragraphs 380 and 381 of the *Provider Support Manual for 2018 to 2019*.

<sup>76</sup> Appendix B, *Specification of the Individualised Learner Record for 2018 to 2019*.

This assists auditors in finalising funding audits, identifying monthly funding values by learning aim and funding attribute, facilitating calculations of funding changes for specific ILR data amendments between two ILR returns in the same funding year.

These show the same funding information as the funding reports available in the Hub or in FIS but with the convenience of being available in PDSAT, thus avoiding the need to transfer between different systems.

Where you have identified a learner and learning aim for which a provider has made data amendments and you need to see the funding attracted by that learner and learning aim for the entire funding year, simply look them up in the *Learner viewer*, available in the *Cross-ILR* tab within PDSAT.

The *Learner viewer* enables you to select a learner from a drop-down menu and displays a monthly breakdown, by learner, learning aim and funding attribute, for each learning aim in the ILR with any non-zero funding entries.

Using the data amendment information in report 19X-002 or 19X-003-05 and the funding information displayed in the *Learner viewer*, you can calculate the impact on funding of the various data amendments and ascertain the change in funding value resulting from any specific data amendment. Clearly, this requires some knowledge of the respective funding methodologies of different ESFA funded programmes.

Note that the *Learner viewer* has an *Export report to Excel* option, enabling you to perform calculations in Excel and retain the resulting file as evidence of the calculation.

## Amended and removed reports

For 2018 to 2019, we have amended the following reports from 2017 to 2018:

- *18B-003: Possible duplicate learning aims*

Amended to include overlapping learning aims. Now output to two reports, split by programme & regulated learning aims and non-regulated learning aims.

- *18A-509: Resuming learners*

Now output to two reports, split by programme & regulated learning aims and non-regulated learning aims.

We have not carried forward the following reports from 2017 to 2018:

- *18A-211: Apprentices that withdraw from existing programmes and restart in funding model 36*

Removed from ESFA funding monitoring plan.

- *18A-502: Other funding adjustments*

Removed from ESFA funding monitoring plan.

## Document history

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