



Education & Skills
Funding Agency

Provider Data Self-Assessment Toolkit (PDSAT)
Version 17 (2016 to 2017 funding year)

REVIEWING PDSAT REPORTS

User guide

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1. 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.

The Education and Skills Funding Agency (ESFA) replaced both the Skills Funding Agency (SFA) and the Education Funding Agency (EFA) from 1 April 2017. Any references to the SFA and the EFA in this document relate to the responsible funding body prior to 1 April 2017.

This guide is to assist ESFA colleagues, particularly PRA 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. Section 5 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 v17, which is for use with ILR data for the funding year 2016 to 2017, referred to in this guide as "2016/17".

This guide does not explain how to use the PDSAT software as such materials already exist. You can find a comprehensive user guide for the PDSAT software at <https://www.gov.uk/government/publications/ilr-data-check-that-it-meets-standards-and-quality-requirements>.

2. Individualised Learner Record (ILR)

This guide assumes that anyone reviewing PDSAT reports has 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.

For a full description of each ILR field, values and guidance, refer to the *Specification of the Individualised Learner Record for 2016 to 2017*, found at <https://www.gov.uk/government/publications/ilr-specification-validation-rules-and-appendices-2016-to-2017>.

3. Using Excel

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

4. Key messages

4.1 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.

We have used the label **XML** in the review notes in section 5 below for reports that PDSAT cannot run with an ILR XML input. The reason for this is that the reports depend on funding values calculated during the processing of the ILR file in FIS. All reports will run when using the direct FIS database connection.

4.2 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 now includes records relating to provision delivered under this new apprenticeship programme, including a series of new reports.

Users must note that where earnings information appears in PDSAT report output for the new apprenticeship programme, it must be treated 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 SFA mainstream provision, such as funding for maths and English provision and learning support funding. These are not funded from employers' digital accounts or through co-investment, but are directly funded by the ESFA.

4.3 Funding monitoring

Part of the ESFA's assurance work involves monitoring providers' ILR data. You can find the *Financial Assurance: Monitoring the Funding Rules 2016 to 2017* monitoring plan at <https://www.gov.uk/government/publications/sfa-financial-assurance-monitoring-the-funding-rules>. The plan lists the areas that we are monitoring during 2016/17.

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 review notes in section 5 below, we have:

- used the label **MP** and the respective number in the plan for easy reference
- highlighted the relevant PDSAT report titles in the contents and in the body of the document
- placed a box around the steps to take to review the report specifically in relation to addressing the monitoring plan.

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

4.4 Report groupings

We have grouped the PDSAT reports according to the funding models (which broadly follow the responsible funding body prior to 1 April 2017) relevant to the report output. They are:

- SFA Reports (17S- prefix): PDSAT interrogates and outputs ILR records predominantly relating to learners and learning aims within funding model 35 (Adult skills funding methodology) and funding model 36 (Apprenticeships (from 1 May 2017)). Some reports also output records relating to funding models 70 (ESF funded), 81 (Other SFA funding) and 99 (No SFA or EFA funding). These are all ESFA funded, except for elements of output relating to funding model 36 that are funded through employers' digital accounts or employer co-investment and output relating to funding model 99, where learners are financed by an Advanced Learner Loan.

We have labelled reports in the review notes in section 5 below, showing to which funding model they relate using **FM35** **FM36** **FM70** **FM81** and **FM99**.

- EFA Reports (17E- prefix): PDSAT interrogates and outputs ILR records relating to learners and learning aims only within funding model 25 (16 to 19 EFA funding methodology). These are usually EFA funded but there are exceptions, such as SFA funded 16 to 18 traineeships where the provider does not have a contract with the EFA.
- Joint Reports (17B- prefix): PDSAT interrogates and outputs ILR records that are not funding model dependent.

As well as the prefix, we have numbered the reports using a three-digit suffix.

4.5 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**.

4.6 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, start each report by filtering out all records that relate to funding lines outside the scope of the assurance review.

4.7 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.

You can find the suite of working papers used by PRA during assurance reviews on the ESFA pages of the GOV.UK website at <https://www.gov.uk/government/collections/sfa-financial-assurance-demonstrating-appropriate-use-of-funds>. The C1 working paper lists all the reports that PRA 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.

4.8 Materiality

Having reviewed a PDSAT report, always consider the materiality of the funding that may be at risk. There may be several hundred rows of data appearing on the report but this may equate to little or no funding. The main priority when using PDSAT during assurance reviews is to identify potential data anomalies that result in funding being at risk.

Reviewers should also be mindful of the materiality of any effect that potential data anomalies may have in other areas such as lagged funding calculations and qualification achievement rates.

Note that whilst reviewers of PDSAT reports may consider materiality when focusing their work, the onus is still on providers to return ILR data that accurately describes the provision delivered to each learner and accurately and comprehensively reflects the contents of each learner's learning agreement.

4.9 Testing

Many PDSAT reports that output records are likely to contain errors that require investigation and corrective action taken.

Where PDSAT reports identify data anomalies that may result in funding errors, and can be confirmed or cleared only 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. Ask the provider to carry out a 100% self-audit of the specific population or, if practicable, test them yourself.**

4.10 Recording review outcomes

PRA 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.

4.11 Features in PDSAT

PDSAT v17 contains the following features:

- Zero record reports: You can set PDSAT to output only those reports that contain any records.
- 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.
- Split reports by subcontractor/partner UKPRN: You can set PDSAT to output only those reports that contain records relating to specific subcontractors. Users can preselect the partner UKPRN value(s) for which they want to run PDSAT reports.
- Viewer: Rather than exporting reports to Excel, you can view report output using the viewer facility in PDSAT. Having viewed report output, you still have the option to export the output in the viewer to Excel if you so wish.
- 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 each of these features using the *Settings* tab.

4.12 Terminology

The EFA formerly referred to learners as “students” and to providers as “institutions”. However, to maintain consistency in this document, we continue to use the terms “learners” and “providers”, formerly used by the SFA, throughout.

5. PDSAT report review notes

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

The suite of documents that sets out the SFA's *Funding Rules 2016 to 2017* is available on the ESFA pages of the GOV.UK website (<https://www.gov.uk/government/collections/sfa-funding-rules-2016-to-2017>).

The EFA's *Funding guidance for young people 2016 to 2017: Funding regulations* is available on the ESFA pages of the GOV.UK website (<https://www.gov.uk/government/publications/advice-funding-regulations-for-post-16-provision>)

The *Specification of the Individualised Learner Record for 2016 to 2017* is available on the ESFA pages of the GOV.UK website (<https://www.gov.uk/government/publications/ilr-specification-validation-rules-and-appendices-2016-to-2017>).

5.1 Joint reports

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

17B-001: Report logic by report

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

Review of this report is not required, although the report is needed should you wish to use the automated facility to copy the report record counts into the C1 working paper of the PRA assurance programme.

17B-002: Possible duplicate learners

Lists all instances where the same learner details appear for more than one learner record 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 Type depending on the combination of matching values. The different match types are:

Type = 1: Family name, Date of birth, Sex, Postcode prior to enrolment and National Insurance number each contain the same value for more than one learner record in the provider's data return.

Type = 2: Family name, Date of birth, Sex and Postcode prior to enrolment each contain the same value for more than one record (excluding Type 1). This is why the PDSAT report could identify twins as possible duplicates, as the four matching values are likely to be the same in this instance.

Type = 3: Family name, Date of birth, Sex and National Insurance number each contain the same value for more than one record (excluding Types 1 & 2).

Type = 4: Family name, Date of birth and Sex each contain the same value for more than one record (excluding Types 1 to 3).

Type = 5: Date of birth, Sex, Postcode prior to enrolment and National Insurance number each contain the same value for more than one record (excluding Types 1 to 4). Note that duplicates of this type will have different names and so it may not be evident at first why they are duplicates.

Type = 6: Date of birth, Sex and Postcode prior to enrolment each contain the same value for more than one record (excluding Types 1 to 5). Note that duplicates of this type will have different names and so it may not be evident at first why they are duplicates.

Clearly, Type 1 is the strongest match and Type 6 is the weakest match.

Type = 7: National Insurance number contains the same value for more than one record.

Type = 8: Unique Learner Number contains the same value for more than one record.

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, which should be avoided where possible. 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 applicable¹.

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 significant 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 should not allocate more than one learner reference number to the same learner in year and should avoid changing it across years, unless it is unavoidable, such as a change to the provider's MIS.

¹ See the *Specification of the Individualised Learner Record for 2016 to 2017* for details of the *Learner reference number in previous year* ILR field.

Instruct the provider to use the *Learner reference number in previous year* field if applicable².

17B-003: Possible duplicate or overlapping learning aims

Lists all instances where the same learning aim details appear for more than one learning delivery record relating to the same learner details in the provider's data return, and the dates of delivery either are duplicated or overlap.

PDSAT compares the values of Family name, Date of birth, Sex, Postcode prior to enrolment, National Insurance number and Learning aim reference, and categorises them by Type, depending on the combination of matching values. The different match types are:

Type = 1: Family name, Date of birth, Sex, Postcode prior to enrolment, National Insurance number and Learning aim reference each contain the same value for more than one learning delivery record and related learner record in the provider's data return.

Type = 2: Family name, Date of birth, Sex, Postcode prior to enrolment and Learning aim reference each contain the same value in more than one record (excluding Type 1).

Type = 3: Family name, Date of birth, Sex, National Insurance number and Learning aim reference each contain the same value in more than one record (excluding Types 1 & 2).

Type = 4: Family name, Date of birth, Sex and Learning aim reference each contain the same value in more than one record (excluding Types 1 to 3).

Type = 5: Date of birth, Sex, Postcode prior to enrolment, National Insurance number and Learning aim reference each contain the same value in more than one record (excluding Types 1 to 4).

Type = 6: Date of birth, Sex, Postcode prior to enrolment and Learning aim reference each contain the same value in more than one record (excluding Types 1 to 5).

Groups of records that relate to potentially duplicated or overlapping learning aims may not be adjacent. The date of birth is common to all reported records so find each group of records with the same date of birth and check whether any remedial action appears necessary.

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.

Having identified learners with duplicated or overlapping learning aims (excluding generic aims), discuss with these with the provider to ensure that the provider is not claiming funding inappropriately.

When selecting samples, you may wish to group learners by aim and select a learner from each group. However, ensure coverage of all Type 1 and Type 2 and, depending on volume, all or a sample from Types 3, 4, 5 and 6. Where you have identified a

² See the *Specification of the Individualised Learner Record for 2016 to 2017* for details of the *Learner reference number in previous year ILR* field.

significant number of learners that appear to be twins, include all or some of them in your sample.

If there are any obvious duplicate entries where the same details relating to the learning aim have been input twice, the provider must remove the incorrect instance.

You may identify learners that the provider has recorded as transferring between instances of the same learning aim. This is incorrect as a transfer (*Withdrawal reason* = 40) occurs only when a learner transfers to a *new* learning aim with the provider. Some providers report learning aims as a transfer simply because the learner has moved from one class to another but remained on the same learning aim which is an incorrect use of *Withdrawal reason* = 40. The provider must correct such instances.

Note that where the first learning aim can be reinstated by removing a *Completion status* of 3 and the second learning aim can be simply removed from the ILR, without affecting funding, the provider should take this course of action.

5.2 SFA reports

These reports predominantly contain records relating to learners and learning aims within funding model 35, which the former SFA funded. They must be output for assurance reviews of former SFA funding. In the notes below, we have labelled reports containing records that are not exclusively within funding model 35 to show the respective funding model(s) reported.

17S-101: All adult skills funding model learners and learning aims

FM35

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 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 level³ for different groups of learners by applying the appropriate filters.

17S-102: All apprenticeship standards learners and learning aims

FM81

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.

³ Page 4, *Adult education budget funding and performance management rules for the 2016 to 2017 funding year*

17S-103: Learners enrolled on English and maths learning aims

FM35 FM36
FM81

Lists all learners and any English and maths learning aims on which they have been enrolled.

Review of this report is not required but the report will be useful should you need to undertake any additional testing of English and/or maths.

17S-104: Learning support funding

FM35 FM36
FM81

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.

17S-105: Learning aims by delivery postcode

FM35 FM36
FM81

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.

17S-106: Funding by subcontractor

FM35 FM36
FM81

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 determine 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 website ([UK Register of Learning Providers \(UKRLP\)](#)) 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 will be different to the value of ESFA funding. However, if it is significantly greater, raise this with the ESFA contract manager.

Use this report in completing working papers D3 and D3a.

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.

17S-107: All Advanced Learner Loan and Loans Bursary Fund learners

Identifies learners funded by Advanced Learner Loans and lists all of their learning aims and, in addition, identifies those learners that are receiving Advanced Learner Loans Bursary funding.

Review of this report depends on the agreement between the ESFA and the provider.

Where the provider holds only a loans facility agreement (and does not have a direct funding agreement for any other funding stream), it must not subcontract any Loans provision in 2016/17. In this case, inspect the *Subcontracted or partnership UKPRN* field to check that there are no UKPRNs recorded. Report any exceptions.

Where the provider holds a direct funding agreement for adult education budget and/or apprenticeships provision, establish whether the provider subcontracted any provision funded by Advanced Learner Loans (“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 not subcontract Loans provision in 2015/16, it must not subcontract any Loans provision in 2016/17. In this case, inspect the *Subcontracted or partnership UKPRN* field to check that there are no UKPRNs recorded. Report any exceptions.

If the provider did subcontract Loans provision in 2015/16, it can 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 be planned to be completed, and must be completed, by 31st July 2017.

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. Report any exceptions.

Whilst undertaking this check, compare each of these values with the provider’s *Subcontractor declaration*. Check any UKPRN values that do not appear on the *declaration* on the website ([UK Register of Learning Providers \(UKRLP\)](#)) 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*. Use this check in completing working paper D3.

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.

Check that any subcontracted Loans provision is planned to be completed by 31st July 2017 by applying the following filters:

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

Any records that remain are contrary to the funding rules and the provider must review all affected provision.

After 31st July 2017, check that any subcontracted Loans provision has been completed by this date by applying the following pairs of filters.

Firstly,

- *Subcontracted or partnership UKPRN* is not blank; and
- *Learning actual end date* is blank.

Secondly,

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

In both cases, any records that remain are contrary to the funding rules and the provider must review all affected provision.

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

17S-108: All learners and learning aims within the new apprenticeship programme

FM36

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.

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 17S-210 (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 case⁴.

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.

MP12

17S-201: 19+ apprentices with full funding claimed

FM35

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

The ESFA is monitoring fully funded adult apprenticeship frameworks to confirm that:

- extended funding applies; or
- the apprentice started when they were aged between 19 and 24 and is subject to a learning difficulty assessment (LDA) or an Education, Health and Care Plan (EHCP); 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.

These are the only reasons for fully funding an adult apprenticeship framework.

⁴ Paragraphs P117, EP102 and E102 of the respective *Apprenticeship funding rules (May 2017 to March 2018)* for training providers, employer-providers and employers

Report 17S-202 deals with those learners where *Eligibility for enhanced apprenticeship funding* applies. The output for this report excludes such learners.

Check for learners without a LDA or an EHCP by applying the following filters:

- *Learning difficulty assessment* is blank; and
- *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, *Learning difficulty assessment*, *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 filtering on *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 suspended⁵.

In addition to the use of this report in addressing the monitoring plan, auditors can use this report to check evidence held to support claims for full funding for adult apprentices.

MP12 **17S-202: 19+ apprentices with enhanced or extended funding**

FM35 **FM36**

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.

The ESFA is monitoring adult apprenticeship frameworks with enhanced or extended funding to confirm that:

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

Exclude apprentices that meet these criteria from the report output by applying all of the following filters:

- *Funding model* = 35; and
- *Learning aim reference* = "ZPROG001"; and

⁵ Paragraph A41 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

- *Restart indicator* is blank; and
- *Learning difficulty assessment* is blank; and
- *Education Health Care Plan* is blank.

Any records that remain are likely to contain data errors and over-claims of funding. Only in exceptional circumstances will the data and funding be correct. 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 aims accordingly so that when you remove the filter, you can still identify the learners affected.

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 3). 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 suspended⁶.

In addition to the use of this report in addressing the monitoring plan, auditors can use this report 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.

Apprentices aged between 19- and 24- years old starting programmes on or after 1 May 2017 are eligible for certain additional payments if they have either an EHCP or have been in the care of their local authority. The ILR Learning Delivery FAM Type *EEF (Eligibility for enhanced apprenticeship funding)* is used 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.

In addition, check that relevant fields have been completed properly 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 which of the *Education Health Care Plan* and *Eligibility for enhanced apprenticeship funding* fields require correction and ensure that it takes the necessary action.

17S-203: 16 to 18 apprenticeships minimum duration exceptions

FM35

Lists learners on 16 to 18 apprenticeship frameworks that may not satisfy apprenticeship minimum duration requirements. The report output contains all component learning aims for learners identified.

⁶ Paragraph A41 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

Apprenticeships for learners aged 16 to 18 must have a minimum planned delivery duration of at least a year. For ILR purposes, the *Learning planned end date* must be on or after the anniversary of the *Learning start date*.

The exception to this is where the learner is a restart or a transfer between providers, in which case 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 fails to 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 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 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 on 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.

MP17 **17S-204: 19+ apprenticeships minimum duration exceptions**

FM35

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

The ESFA is monitoring apprentices aged 19 and over when they start an apprenticeship programme of at least 6 months' and less than a year's duration, to confirm that either there is prior learning requiring a funding adjustment or the provider is not claiming funding for all mandatory learning aims within the framework.

Given the difficulties in establishing how many days to filter on when identifying programmes of at least six months' and less than a year's duration, we recommend that you address the monitoring plan by investigating the circumstances of each learner listed on the report. However, if you want to start by seeking to identify those learners that are subject to monitoring, highlight learners identified by applying filters similar to the following:

- *Learning aim reference* = "ZPROG001"; and
- *Restart indicator* ≠ 1; and
- *Programme planned duration days* is between 182 and (365 or 366). Note that the number of days in this expression is the minimum number of days that a programme lasting at least six months can be and the maximum number of days that a programme lasting less than a year can be (where the programme does not include and does include a "leap day", respectively).

Apprenticeships for learners aged 19 and over on the day they start must have a minimum planned delivery duration of at least a year unless the provider is not delivering all the elements of the apprenticeship framework 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 months⁷. Otherwise, they are not eligible for funding.

For ILR purposes, for a one year programme, the *Learning planned end date* must be on or after the anniversary of the *Learning start date*. The exception to this is where the learner is a restart or a transfer, in which case 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.

⁷ Paragraph C7 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding 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 on 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.

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 on the apprenticeship frameworks online website (<http://www.afo.sscalliance.org/frameworkslibrary>).

It is acceptable to reduce the planned duration of the adult apprenticeship 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 planned to last for less than six months in total as these are not eligible for funding at all.

Where the provider has correctly 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.

17S-205: Apprentices and trainees with co-funding

FM35

Lists apprentices that were aged 16 to 18 when they started their framework, apprentices with learning difficulty assessments (LDA) or 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.

The ESFA fully funds all apprentices aged 16 to 18 when they start and all apprentices aged 19 to 24 when they start if they have an LDA or 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.

17S-206: Employment status exceptions

**FM35 FM36
FM81**

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:

- not in paid employment; or
- self-employed; or
- 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
- 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 learners⁸ or unemployed learners⁹, and apprenticeship standards, where specific rules apply in the case of redundancy¹⁰).

Apprentices that started their programmes on or after 1 May 2017 cannot be in one of the first two groups listed and participate in an apprenticeship programme (except for when specific rules apply in the case of redundancy¹¹).

⁸ Paragraph B9 of the *Apprenticeships: common funding and performance-management rules for the 2016 to 2017 funding year*

⁹ Paragraph C3 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*

¹⁰ Paragraph D137 of the *Apprenticeship standards funding rules 2016 to 2017*

¹¹ Paragraph P201 of the *Apprenticeship funding and performance-management rules for training providers (May 2017 to March 2018)*

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 groups above by filtering on *Funding model* in (35, 36, 81) and applying each of the following filters in turn:

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

Change 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 framework¹² 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.

MP16 **17S-207: Withdrawals with no refunds**

FM36 **FM81**

Identifies learning aims for learners that withdraw from an apprenticeship standard where there is no reimbursement of funds to the employer.

The ESFA is monitoring apprentices that start an apprenticeship standard prior to 1 May 2017 and withdraw or take an agreed break to mitigate the risk of overpayment of Government funds where employer payments may exceed the value of provision delivered.

Where a learner withdraws or takes an agreed break from an apprenticeship standard, such a change of circumstances could result in an overpayment of Government funding, depending on the actual delivery and the payment schedule agreed by the employer and the lead provider. Where learners withdraw from an apprenticeship standard but there is no reimbursement of funds, this could be due to an omission in reporting unless the provider can demonstrate that the value of payments made reflects the value of provision delivered.

Compare the proportion of the time on the programme completed (using the *Percent complete* field) with the proportion of the negotiated price paid. This may provide a useful guide as to whether the value of payments made by the employer is reasonable.

Only apprentices for whom there is one or more payment record but no reimbursement are listed.

¹² Paragraph C5 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*

MP18 **17S-208: Apprentices that commence a standard after a framework**

FM81

Identifies (and lists learning aims for) apprentices that commence a standard having completed or withdrawn from a framework in a similar subject area or at the same or higher level.

The ESFA is monitoring apprentices that complete or withdraw from an apprenticeship framework to ensure that they do not start an apprenticeship standard in a similar subject area or at the same or a lower level.

The ESFA does not expect learners that complete an apprenticeship to start a second apprenticeship at the same or a lower level. Neither does it expect learners to withdraw from a framework and commence a similar standard.

For learners listed, the provider must be able to demonstrate that it is satisfied that the apprenticeship supports learners in a new job role or that significant new skills are required.

MP11 **17S-209: Apprentices undertaking level 1 or below in maths and/or English within an apprenticeship**

FM36 FM81

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 level 1 or below in maths and/or English within a standard starting prior to 1 May 2017 or any 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 successfully achieve level 2.

For apprentices starting a standard prior to 1 May 2017, unless they have already achieved level 2 in maths and English, such apprenticeship standards require learners to take level 2 maths and/or English. Only where the lead or contracted provider conducts a formal, recognised assessment demonstrating that the learner needs to study at level 1 first in order to successfully achieve level 2 can the learner be enrolled on level 1 maths and/or English. Learners cannot be enrolled on maths and/or English below level 1, any such funding claimed is in error and the provider must amend the ILR accordingly to remove funding.

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

For apprentices starting a programme on or after 1 May 2017, unless they have already achieved level 2 in maths and English, they are required to take level 2 maths and/or English. Only where the lead or contracted provider conducts a formal, recognised assessment demonstrating that the learner needs to study at level 1 or below first in order to successfully achieve level 2 can the learner be enrolled on level 1 or below in maths and/or English.

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

17S-210: Negotiated prices as a proportion of funding band maxima

FM36

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).

You can use this report if you are interested in establishing whether the provider's negotiated prices appear to be disproportionately spread. For example, they may be fixed at the funding band maximum, in which case you should be mindful of this when reviewing apprentices' evidence packs in case you find that some apprentices have prior learning that may 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.

This report can be used in conjunction with 17S-108 where you are undertaking any specific review of negotiated prices.

MP29

17S-211: Apprentices funded for English and/or maths within the adult education budget

FM36

Identifies learners commencing any level of English and/or maths learning aim within the adult education budget having already started an apprenticeship programme on or after 1 May 2017.

The ESFA is monitoring apprentices that commence and are funded through the adult education budget for English and/or maths.

Apprentices that start their programmes on or after 1 May 2017 and enrol on English and/or maths provision must be funded by apprenticeship funding and not through the adult education budget¹³. Any records appearing on this report are errors and the provider must correct the ILR accordingly.

Where the provision is eligible for funding within the apprenticeship programme, the provider must re-categorise the provision accordingly, otherwise it must amend the ILR to remove the funding.

MP31

17S-212: Apprentices withdrawing from the programme soon after attracting an additional payment

FM36

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

The ESFA is monitoring apprentices that withdraw within 14 days of attracting an additional payment, where the payment is dependent upon the number of days on the programme.

All learners listed on this report should have attracted an additional payment, which you can check by referring to the *FM36 additional* indicative earnings fields.

¹³ Paragraphs P108 and EP93 of the respective *Apprenticeship funding rules (May 2017 to March 2018)* for training providers and employer-providers

For the learners identified, ask the provider for evidence to support the learners' eligibility for additional payments¹⁴, 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.

MP32 **17S-213: Apprentices that withdraw from existing programmes and restart in funding model 36**

FM36

Identifies apprentices that withdraw from programmes that commenced prior to 1 May 2017 and restart under the new apprenticeship programme funding system.

The ESFA is monitoring apprentices that withdraw from existing apprenticeship frameworks or standards under funding models 35 or 81 respectively, and restart in funding model 36 under the new apprenticeship funding arrangements.

Only where it is in an apprentice's best interests can they enrol on an apprenticeship in the new funding system when returning from a break in learning¹⁵. For learners listed on this report, the provider must be able to evidence that this is the case, otherwise they must amend the ILR accordingly to restart the apprentice in the same funding model from which they took a break.

MP30 **17S-214: Recording co-investment payments**

FM36

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 levy paying employers with insufficient funds, employers must co-invest 10% of the negotiated price up to the maximum value of the funding band and 100% where the negotiated price 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.

Filter on *Small employer* = 1 to identify whether there are no co-investment payments because the employer has been recorded in the ILR as qualifying for small employer support. The provider must be able to evidence that the employer has fewer than 50 employees.

Where co-investment payments have been made but not recorded in the ILR, the provider must update the ILR accordingly. Where co-investment payments have not been made but should have been, the provider must 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.

¹⁴ Paragraphs P86 to P90, EP76 to EP79 and E71 to E74 of the respective *Apprenticeship funding rules (May 2017 to March 2018)* for training providers, employer-providers and employers

¹⁵ Paragraphs P189 and EP169 of the respective *Apprenticeship funding rules (May 2017 to March 2018)* for training providers and employer-providers

MP23 **17S-301: Traineeships with incorrect or no work placement aims**

Identifies traineeship programmes containing either no work placement aims or work placements that are not available for funding as they are below the minimum of 100 planned hours, and lists all component aims.

The ESFA is monitoring traineeship programmes that do not include a work placement.

A traineeship includes a work placement¹⁶. There are three learning aim reference numbers that the provider can use to report work placements within funding model 35 in the ILR¹⁷.

If the provider has used an incorrect learning aim reference number, check the learning agreement to confirm whether the planned duration of the work placement was at least 100 hours. If it was, the provider must correct the learning aim reference number accordingly. If it was not, the traineeship could 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 contributions¹⁸. 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.

MP24 **17S-302: Traineeships with no work preparation aims**

FM35

Identifies traineeship programmes containing no work preparation learning aims.

The ESFA is monitoring traineeship programmes that do not include work preparation.

A traineeship programme must contain work preparation as a core element¹⁹ 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

¹⁶ Paragraph 48.1 of the *Adult education budget funding and performance-management rules for the 2016 to 2017 funding year*

¹⁷ Paragraph 573 of version 3 of the *Provider Support Manual for 2016 to 2017*

¹⁸ Government contribution table (page 4) and following paragraphs of the *Adult education budget funding and performance-management rules for the 2016 to 2017 funding year*

¹⁹ Paragraph 48.2 of the *Adult education budget funding and performance-management rules for the 2016 to 2017 funding year*

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 they do not, 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 contributions²⁰. 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.

MP25

17S-303: Trainees that have already completed a traineeship or achieved an apprenticeship

FM35

Identifies learners enrolled on a traineeship programme starting in the 2016 to 2017 funding year, having already been recorded in the ILR as having either completed a traineeship programme or achieved an apprenticeship.

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 employment.

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 can be funded for a traineeship.

MP26

17S-304: Traineeships with flexible elements but no core aims

FM35

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

The ESFA is monitoring traineeship programmes that contain flexible elements where there is no record of any core elements.

Providers can deliver these additional learning aims only if they are alongside the core elements of a traineeship programme. This report lists all traineeship programmes that contain no work placement but contains learning aims other than those identified as either work preparation or English and maths.

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

²⁰ Government contribution table (page 4) and following paragraphs of the *Adult education budget funding and performance-management rules for the 2016 to 2017 funding year*

17S-401: Employment outcome

FM35

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 criteria²¹ 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).*

MP20

17S-402: Enrolments on level 2 entitlement aims after achieving a full level 2 or higher

FM35

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 learners²² can be fully funded under such circumstances. 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.

Check learners listed 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.

MP21

17S-403: Enrolments on level 3 entitlement aims after achieving a full level 3 or higher

FM35

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

²¹ Paragraph 82 of the *Adult education budget funding and performance-management rules for the 2016 to 2017 funding year*

²² Paragraphs 4 to 9 of the *Adult education budget funding and performance-management rules for the 2016 to 2017 funding year*

Learners cannot be funded in such circumstances and must either fund their own learning or apply for an Advanced Learner Loan.

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

MP1
MP14

17S-501: Learners repeating learning aims or programmes that they have already achieved

FM35 **FM36**
FM81

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 are funded 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 higher²³.

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 is comparing data in the current funding year with that of previous years to identify repeated learning aims, PDSAT can only report 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.

MP4

17S-502: Other funding adjustments

FM35 **FM36**
FM81

Identifies learning aims with a value recorded in the ILR field Other funding adjustment.

The ESFA is monitoring the use of the ILR field *Other funding adjustment*.

Providers can complete this field for reasons other than prior learning only with the ESFA's agreement. Where the provider does not have evidence of this agreement, it must remove the funding adjustments from this field and, if applicable, transfer them to the *Funding adjustment for prior learning* field.

²³ Paragraph A31 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year* and paragraphs P82.11, EP75.11 and E67.11 of the respective *Apprenticeship funding rules (May 2017 to March 2018)* for training providers, employer-providers and employers

MP9 **17S-503: Learning aims with planned duration of one day**

FM35 **FM36**
FM81

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

The ESFA is monitoring learning aims with a planned duration of one day to ensure that they are correctly included in ILR returns.

Learning aims must only be reported in the ILR if there is evidence that learning is taking or has taken place. Learners that enrol but do not attend a single episode of learning must not be reported.

It is unlikely that a learner will attend a learning aim with a planned duration of one day and either withdraw 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.

MP8 **17S-504: Learning aims with actual duration of one day**

FM35 **FM36**
FM81

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

The ESFA is monitoring learning aims with an actual duration of one day to ensure that learners actually participated in learning.

Learning aims must only be reported in the ILR if there is evidence that learning is taking or has taken place. Learners that enrol but do not attend a single episode of learning must not be reported.

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.

MP15 **MP22** **17S-505: Learners in learning beyond their learning planned end date**

FM35 **FM36**
FM81

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

This report identifies specific groups of learners that have passed their learning planned end date and, as such, should have completed their learning aim.

The ESFA is monitoring the following groups of learners:

- Apprentices that are still in learning more than 300 days after their programme learning planned end date.

- Learners (other than apprentices) that left without achievement or that are still in learning, more than 100 days after 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.

For apprentices, identify those in learning more than 300 days after their programme planned end date by filtering on *Days in learning beyond programme planned end date (to ILR date) > 300*. 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 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.

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 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 data²⁴.

17S-506: Withdrawals and qualifying days for funding

FM35 FM36

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 learning²⁵.

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

²⁴ Section 5 of the *Provider Support Manual for 2016 to 2017*

²⁵ Paragraph A33 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

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.

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.

17S-507: Learning actual end dates

FM35 FM36

Summarises by learning actual end date the number of learners leaving learning aims without achievement during the 2016 to 2017 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 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 17S-101 and 17S-108 to identify specific examples and follow these up with the provider.

17S-508: Transferring learners

**FM35 FM36
FM81**

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 aim²⁶. 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*.

²⁶ Paragraph 423 of version 3 of the *Provider Support Manual for 2016 to 2017* and paragraph 174 of version 2 of the *Guidance for returning apprenticeships on the ILR from 1 May 2017*

17S-509: Resuming learners

FM35 FM36
FM81

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

The report identifies any 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 learning²⁷.

Find examples of learners on 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.

17S-510: Early completions

FM35

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.

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).

²⁷ Paragraph 285 of version 3 of the *Provider Support Manual for 2016 to 2017*

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.

Learning planned end dates can often be based 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 planned end date for all learners, irrespective of the individual circumstances of each learner and learning aim.

17S-511: Completions without a full achievement

FM35

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.

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 data²⁸.

17S-512: Retention

FM35

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 1st August 2016.

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 report 17S-101 to identify the learners on these learning aims. Use learner files or registers to check that all learners appear in the ILR.

17S-513: Learners with prior attainment level recorded as not known

FM35 FM70

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

²⁸ Section 5 of the *Provider Support Manual for 2016 to 2017*

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 aims²⁹.

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.

17S-514: Learning aims where the annual funding cap has been applied

 **FM35**

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 applied³⁰.

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.

17S-515: Generic postcodes

FM35 **FM36**

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.

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 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 distance or e-learning.

²⁹ Paragraphs A89.4 and A89.7 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

³⁰ Paragraph 75 of version 2 the *Funding rates and formula 2016 to 2017*

17S-516: NI Numbers null, temporary or used for HMRC administrative purposes

FM35 FM36
FM81 FM99

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 HMRC uses for a specific administrative purpose.

Providers should treat the *NI number*³¹ field on the ILR as compulsory for apprentices and 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 at <http://www.hmrc.gov.uk/manuals/nimmanual/nim39110.htm>.

17S-517: European Social Fund data for directly funded and match funding provision

FM35 FM70

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

³¹ See the *Specification of the Individualised Learner Record for 2016 to 2017* for details of the *National Insurance number* ILR field.

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.

17S-518: Non-English postcodes



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.

Individuals that do 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 significant³².

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 England³³. 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 significant³⁴.

Learners ordinarily resident in the Isle of Man or the Channel Islands are ineligible for ESFA funding, unless they are also ordinarily resident in England³⁵.

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.

The ESFA will not fund learning provision delivered outside England unless it gives the provider permission first³⁶. This includes provision funded by Advanced Learner Loans³⁷ but excludes apprenticeship programmes starting on or after 1 May 2017. 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 2017³⁸. For any records listed where *Funding model* = 36, check with the provider the details of the delivery location

³² Paragraph A131 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

³³ Paragraph A132 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

³⁴ Paragraph A133 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

³⁵ Paragraph A125.6 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

³⁶ Paragraph A29 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*

³⁷ Paragraph F25 of the *Advanced Learner Loans funding and performance-management rules for the 2016 to 2017 funding year*

³⁸ Paragraphs P54.6, EP54.6 and E52.6 of the respective *Apprenticeship funding rules (May 2017 to March 2018)* for training providers, employer-providers and employers

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 an incorrect value has been recorded.

17S-519: All HEFCE funded learners

FM35 FM36
FM81

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 an 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-investment³⁹.

5.3 EFA reports

These reports contain records relating to learners and learning aims within funding model 25, which the former EFA usually funded but which the former SFA could have funded. They must be output both for assurance reviews of both former SFA and former EFA funding.

For assurance reviews of former SFA funding, you can use report 17B-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 learners funded by the former SFA.

For assurance reviews of former EFA funding, start by filtering on 'Source of funding = 107' to identify learners funded by the former EFA.

17E-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.

³⁹ Paragraphs P54.3, EP54.3 and E52.3 of the respective *Apprenticeship funding rules (May 2017 to March 2018)* for training providers, employer-providers and employers

17E-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.

17E-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 aim⁴⁰.

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

17E-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.

17E-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).

For each subcontractor's UKPRN, filter on *Subcontracted or partnership UKPRN* to determine the total value of ESFA funded provision (only with a FIS input file).

⁴⁰ Paragraphs 23 to 27 of the EFA's *Funding guidance for young people academic year 2016 to 2017: Funding rates and formula*

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

17E-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 year⁴¹. 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.

Check whether it is feasible to deliver programmes over such short periods, 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.

17E-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 year⁴². 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

⁴¹ Paragraph 203 of the *Provider Support Manual for 2016 to 2017*

⁴² Paragraph 203 of version 3 of the *Provider Support Manual for 2016 to 2017*

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.

17E-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.

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.

17E-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 provision⁴³.

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.

17E-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 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.

⁴³ Paragraph 76 of the EFA's *Funding guidance for young people 2016 to 2017: Funding regulations April 2016*

17E-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 they are already enrolled with another provider on ESFA funded provision or full time HE provision⁴⁴. 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 2 weeks are not eligible for ESFA funding.

17E-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 learning⁴⁵.

For learners on ESFA funded 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 2 weeks' and less 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.

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.

17E-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 learning aims on which learners are enrolled in order to meet the condition of funding, it is the date on which the learner withdraws from the individual learning aim that determines whether the learner has reached the start qualifying date for funding⁴⁶.

⁴⁴ Paragraph 85i of the EFA's *Funding guidance for young people 2016 to 2017: Funding regulations April 2016*

⁴⁵ Paragraphs 31 to 33 and Table 4 of the EFA's *Funding guidance for young people academic year 2016 to 2016: Funding rates and formula*

⁴⁶ Paragraph 6 of Annex D of the EFA's *Funding guidance for young people 2016 to 2017: Funding regulations April 2016*

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 2 weeks' and less 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.

17E-209: Learning aims delivered in one day

Identifies learners enrolled on learning aims that are delivered in one day.

Learning aims must only be reported in the ILR if there is evidence that learning is taking or has taken place. Learners that enrol on a learning aim but do not attend a single episode of learning must not be reported.

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.

17E-210: 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 may be recorded that are harder to evidence as "realistic and deliverable"⁴⁷.

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 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 17E-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 students is timetabled and exists⁴⁸. You can filter report 17E-101 as necessary to identify the

⁴⁷ Paragraphs 13e and 72 of the EFA's *Funding guidance for young people 2016 to 2017: Funding regulations April 2016*

⁴⁸ Paragraph 72 of the EFA's *Funding guidance for young people 2016 to 2017: Funding regulations April 2016*

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.

17E-211: 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 31/07/2016 although the further into the 2016 to 2017 funding year the review is, the later 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 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 data⁴⁹.

17E-212: 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 aim⁵⁰. 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

⁴⁹ Section 5 of version 3 of the *Provider Support Manual for 2016 to 2017*

⁵⁰ Paragraph 423 of version 3 of the *Provider Support Manual for 2016 to 2017*

that a transfer has taken place or correct the ILR by removing the value *Withdrawal reason = 40*.

17E-213: 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:

- *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 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.

Learning planned end dates can often be based 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 planned end date for all learners, irrespective of the individual circumstances of each learner and learning aim.

17E-214: 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.

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 data⁵¹.

17E-215: Traineeships with incorrect or no work placement aims

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

A traineeship includes a work placement. There are five learning aim reference numbers that the provider can use to report work placements within funding model 25 in the ILR⁵². The use of any other aim could result in a discrepancy in the number of planned hours recorded and could affect the funding claim. Traineeships with no work placement could 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 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.

17E-301: Learners under 16

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

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 2⁵³. 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 (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.

⁵¹ Section 5 of version 3 of the *Provider Support Manual for 2016 to 2017*

⁵² Paragraph 573 of version 3 of the *Provider Support Manual for 2016 to 2017*

⁵³ Paragraph 48 of the EFA's *Funding guidance for young people 2016 to 2017: Funding regulations April 2016*

17E-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.

17E-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. The ESFA does not expect providers to recruit entire groups of students from outside their local area and they must seek prior permission from the ESFA to enrol such groups of students.

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 Wales and Scotland 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 funding⁵⁴.

For learners that turn out to be ineligible, the provider must make the necessary data corrections, removing the learners from the ILR.

17E-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".

⁵⁴ Paragraph 37 of the EFA's *Funding guidance for young people 2016 to 2017: Funding regulations April 2016*

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 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.

17E-305: All HEFCE funded learners

Identifies all learners with learning aims funded by HEFCE funding and lists these and all of their ESFA funded learning aims.

Learners undertaking full time Higher Education (HE) programmes are usually ineligible for ESFA funded provision.

In addition, the ESFA does not expect to fund FE qualifications or other programmes for groups of HE students.

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

6. Removed reports

We have not carried forward the following reports from PDSAT v16:

- 16B-040: FIS reported data errors/warnings report
Information accessible via the Hub
- 16S-510: Level 3/4 Advanced Learner Loans exceptions
Funding rules no longer allow these exceptions
- 16S-520: Traineeships maximum duration exceptions
Validated by ProgType_13
- 16S-530: Traineeship eligibility
Validated by DateOfBirth_51, PriorAttain_07, EmpStat_17 & EmpStat_18
- 16S-600: Level 3 Early Years Educator learning aims outside apprenticeships
Removed from SFA's funding monitoring plan
- 16S-640: Learner support reason
Removed from SFA's funding monitoring plan
- 16S-670: August withdrawals
Removed from SFA's funding monitoring plan
- 16E-520: Traineeships maximum duration exceptions
Validated by ProgType_13
- 16E-530: Traineeship eligibility
Validated by DateOfBirth_51, PriorAttain_07, EmpStat_17 & EmpStat_18

7. Document history

Version 1 published March 2017

Version 2 published April 2017 Introduction updated with reference to ESFA.
Review notes for report 17S-107 updated.

Version 3 published August 2017 Updated to reflect inclusion of the new
apprenticeship programme (ILR funding model
36) within PDSAT report output.