



Education & Skills
Funding Agency

Managing Exceptions User Guide

April 2019

Audience: Batch File users



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1 Introduction

1.1 Purpose

This document provides information and guidance for learning providers to manage their exceptions after a batch file has been submitted.

'Exceptions' are displayed on the 'View exceptions' page for batch files that are submitted and a ULN could not be found or created.

Exceptions need to be resolved so that new ULNs can be obtained or personal information can be updated.

Within the output file that you either download from the LRS Organisation Portal or receive via Web Services, you will notice a column or tag of return codes.

- Return codes RC001 - RC004 are where the ULN was found or created.
- Return codes RC005 - RC013 are where the ULN could not be found or created and therefore require further action to resolve.

Exceptions can only be processed on the LRS portal. Exceptions created from batch files submitted via Web Services can only be processed on the LRS portal.



2 Viewing your exceptions

Exceptions can be viewed for:

- All batch files submitted by your organisation or
- For a single file within your organisation

The actions that you take for each option are the same in each case. Exceptions will remain on the list until a ULN has been found or created, but, files submitted (and exceptions) will be deleted after 90 days.

2.1 Viewing all exceptions

1. Log into the LRS Organisation Portal
2. Select “View Exceptions” under Learner management from the left hand menu

You are here: View exceptions

Welcome

Learner Management

- Find a Learner
- Register Learner
- Submit Batch File
- View Batch Files
- View Exceptions

Exception list

TEST90000061

+ Open filter options

<< 1-10 of 2212 results >>

<input type="checkbox"/>	Given name	Family name	Date of birth	Gender	Postcode	Organisation's file name	Return code	Expiry date	Action
	TestLmanseven	TestLmanseven	01 Jan 2000	Male	B82HL	3A-RC006	RC012	30 May 2019	Process duplicates
	FORENAME_2	SURNAME_2	11 Aug 1998	Female	CV1 2BT	IW DIE Test File	RC011	29 Apr 2019	Process duplicates
	FORENAME_2	SURNAME_2	11 Aug 1998	Female	B20 3EB	IW DIE Test File	RC011	29 Apr 2019	Process duplicates
	FORENAME	SURNAME	13 Aug 1999	Male	CV1 2TT	RC003_Update_AllFields_ULNEntered	RC009	29 Apr 2019	Process duplicates
<input type="checkbox"/>	Samuel	Delaney	26 Aug 2001	Male	L10 3JN	WC	RC006	07 Feb 2019	Process
<input type="checkbox"/>	Lukasz	Krawczyk	02 May 2001	Male	WN4 9DA	WC	RC009	07 Feb 2019	Process
<input type="checkbox"/>	Deanne	Tait	11 Mar 2001	Female	WN2 5BD	WC	RC006	07 Feb 2019	Process
<input type="checkbox"/>	Josh	Sammon	14 Feb 2001	Male	WN3 6LJ	WC	RC009	07 Feb 2019	Process
<input type="checkbox"/>	Max	Wilde	23 Aug 2001	Male	WN5 7QY	WC	RC006	07 Feb 2019	Process
<input type="checkbox"/>	Harriet	Sutton	18 Aug 2001	Female	PR8 6JA	WC	RC006	07 Feb 2019	Process

Note: If you click on the Return Code, you will be taken to a new screen, which will display the description of the codes along with “Next steps” to rectify the exception (see Appendix A).



2.2 View exceptions by batch file

1. Log into the LRS Organisation Portal
2. Select “View Batch Files” under Learner management from the left hand menu.

You are here: View batch files

Welcome

Learner Management

- Find a Learner
- Register Learner
- Submit Batch File
- View Batch Files**
- View Exceptions

View batch files

Batch files submitted for TEST9000061 (9000061)

+ Open filter options

All batch files submitted are displayed below.

<< 1-10 of 65 results >>

Job ID	Organisation file name	Type	Status	Unresolved exceptions	User	Date	Actions
22819	File1	FUL	Complete	2	AUT05A	24 Apr 2019 14:15	View batch file details View exceptions Download output file
22818	File1	FUL	Complete	4	AUT05A	24 Apr 2019 14:09	View batch file details View exceptions Download output file
22817	File1	FUL	Complete	4	AUT05A	24 Apr 2019 12:12	View batch file details View exceptions Download output file
22816	File1	FUL	Complete	4	AUT05A	24 Apr 2019 11:52	View batch file details View exceptions Download output file
22815	RC009	FUL	Failed	-	SHAKEH5	24 Apr 2019 09:08	View batch file details View exceptions Download output file Incorrect Record Count.
22814	RC009	FUL	Complete	2	SHAKEH5	24 Apr 2019 09:06	View batch file details View exceptions Download output file
22813	Thread16	FUL	Complete	1	AUT05A	15 Apr 2019 15:11	View batch file details View exceptions Download output file
22812	Test	CHK	Failed	-	AUT05A	12 Apr 2019 14:15	View batch file details View exceptions Download output file Invalid File.
22811	Test	FUL	Failed	-	AUT05A	12 Apr 2019 14:14	View batch file details View exceptions Download output file Invalid File.
22810	Test	FUL	Failed	-	AUT05A	12 Apr 2019 14:05	View batch file details View exceptions Download output file Invalid File.

<< 1-10 of 65 results >>

Batch files last refreshed at 24 Apr 2019 15:15:11

[What is the difference between FUL and CHK?](#)

[Why has my batch failed?](#)

[Refresh](#)

3. You will be able to see the number of “Unresolved exceptions” outstanding on the batch file. Find the batch file you would like to view. Where no exceptions were created ‘No exceptions’ is displayed.
4. For the individual batch file, exceptions can be viewed by selecting ‘View file details’ and then selecting the ‘View exceptions’ button or by selecting ‘View exceptions’



You are here: [View batch files](#) - [View batch file details](#)

[Welcome](#)

[Learner Management](#)

- [Find a Learner](#)
- [Register Learner](#)
- [Submit Batch File](#)
- [View Batch Files](#)
- [View Exceptions](#)

View batch file details for File1

The batch file and its associated output file will be automatically deleted after 90 days. (23 Jul 2019)

Summary

Job ID	22819
Date	24 Apr 2019 14:15:43
Type	FUL
Status	Complete
User	AUT05A
File name	LRB_90000061_120320180958.xml
Organisation's file name	File1
Start date	24 Apr 2019 14:15:45
End date	24 Apr 2019 14:15:45
Duration	00:00:00.2960000

Original File

RC001 Linked Master ULN returned	0
RC002 ULN confirmed and updated	0
RC003 ULN confirmed	0
RC004 No match - New ULN created	0
RC005 No match - No ULN created	0
Original exceptions (RC006-RC013)	2
Total records submitted	2

Unresolved exceptions

RC006 Insufficient data to create new ULN	0
RC007 Possible match	1
RC008 Too many matches	0
RC009 No ULN match - Serious error	0
RC010 Null values	0
RC011 Incorrect format	1
RC012 Incorrect identifier format	0
RC013 Learner(s) outside of permitted age range	0
Total remaining exceptions	2

[Delete batch file](#)

[Back to view batch files](#)

[Download output file](#)

[View exceptions](#)

Once an exception has been resolved, the number outstanding will automatically be updated to show the remaining exceptions.

Note: If you click on the Return Code, you will be taken to a new screen, which will display the description of the codes along with “Next steps” to rectify the exception (see Appendix A).



2.3 Filtering your exceptions

From either screen where you have a list of exceptions, you can filter to easily search

1. Select the “+” Open filter options from the exceptions list screen
2. Add as many filter conditions as needed
3. Select “Apply Filter” to refresh the list of exceptions with the filter conditions

TEST90000061

- Close filter options

Organisation's file name	<input type="text" value="All"/>	Given name	<input type="text" value="All"/>
Return code	<input type="text" value="All"/>	Family name	<input type="text" value="All"/>
Submitted within	<input type="text" value="All"/>	Has ULN	<input type="text" value="All"/>

[Clear filter](#) [Apply filter](#)

[What filters should I use?](#)

Once you have added a filter, you can revert to the original list of all exceptions by selecting “Clear Filter” **NOTE:** Once a filter is applied this will remain the next time you return to the page and is visible by the **filter options applied** label and will be open as a default.

View exceptions

The 'exceptions' below are a list of records from your batch files where a ULN could not be found or created.

To obtain a ULN for your learner, please click the 'Process' exception link and search for your learner (providing updated data where necessary).

Exceptions will expire after 90 days and will no longer be displayed below.

SKILLS FUNDING AGENCY - PDS PROVIDER D

- Close filter options (**Filter options applied**)

Organisation's file name	<input type="text" value="All"/>	Given name	<input type="text" value="All"/>
Return code	<input type="text" value="RC007"/>	Family name	<input type="text" value="All"/>
Submitted within	<input type="text" value="All"/>	Has ULN	<input type="text" value="All"/>

[Clear filter](#) [Apply filter](#)

[What filters should I use?](#)

<< < 1-2 of 2 results > >>

<input type="checkbox"/>	Given name	Family name	Date of birth	Gender	Postcode	Organisation's file name	Return code	Expiry date	Action
<input type="checkbox"/>	Boris	Johnson	01 Jan 2000	Male	hp201bb	3A-RC006	RC007	25 Jul 2019	Process
<input type="checkbox"/>	TestLmanseven	TestLmanseven	01 Jan 2000	Male	B82HL	3A-RC006	RC007	10 Jul 2019	Process

<< < 1-2 of 2 results > >>

Select to mark exceptions for deletion

2 total exceptions with 2 unique exceptions shown and 0 duplicates hidden



3 Exception Descriptions

3.1 RC005 – No match – No ULN created

No ULN record was found using the details you submitted. A new ULN has not been created as the batch file was loaded using a submission type of Verification only (CHK).

How to process

To create a ULN for this learner, resubmit the batch file using a Full (FUL) submission type.

3.2 RC006 – Insufficient data to create a ULN

RC006 is returned when LRS fails to create a ULN where the mandatory fields, Verification Type and/or Privacy Notice (Ability to Share for 2A files) have not been supplied.

How to process

1. Select 'Process'

View exceptions

TEST90000061

+ Open filter options (Filter options applied)

<< < 1-10 of 1658 results > >>

<input type="checkbox"/>	Given name	Family name	Date of birth	Gender	Postcode	Organisation's file name	Return code	Expiry date	Action
<input type="checkbox"/>	wnfd	sfasfasffaf	09 Jan 1951	Not known	pa49lh	HAmzahReturn	RC006	23 May 2019	Process duplicates
<input type="checkbox"/>	Arunkumar	selva	28 Jan 1946	Female	G128AD	RC003_AllFields	RC006	10 Jun 2019	Process duplicates
<input type="checkbox"/>	Arun	selva	28 Jan 1943	Female	mk44hd	RC003_AllFields	RC006	10 Jun 2019	Process duplicates
<input type="checkbox"/>	trible	tony	01 Jan 1973	Male	CV12WT	Test	RC006	16 Apr 2019	Process
<input type="checkbox"/>	Morris	Manson	01 Jan 1990	Male	CV12TT	testfile_AllFields	RC006	01 May 2019	Process

2. The latest search results are displayed. The latest search result may differ to the original result when the batch was submitted.



Find a learner

You searched for

Provided details MIS Identifier:

Given name	Family name	ULN	Date of birth	Gender	Postcode
Morris	Manson		01 Jan 1990	Male	CV12TT

- Hide optional fields

Preferred given name	Middle name(s)	Previous family name	Email	UCI	UPN
	John	previous	testemail@hotmail.com		

Your search results: No Match

This search has returned no results. Please refine your search using the fields above or register a new learner using the details you have already entered.

[Can't find the learner you're looking for?](#)

[Return to exception list](#)

[Register this learner](#)

3. If the learner has not been created i.e. "No Match", then select "Register this Learner". The fields supplied in the batch will be pre-populated. Complete all mandatory fields and register the learner.
4. Once the learner has been registered, the exception will disappear from the list.
NOTE: It is possible that the ULN may have been created since the batch file was submitted and processed. In this case, you will be presented with the "Find a learner" page and the search results will be "Match". You can resolve the exception, by selecting the learner.



Find a learner

You searched for

Provided details MIS Identifier:

Given name	Family name	ULN	Date of birth	Gender	Postcode
trible	tony		01 Jan 1973	Male	CV12WT

- Hide optional fields

Preferred given name	Middle name(s)	Previous family name	Email	UCI	UPN
				689990980002K	K901200001001

Your search results: Match

Collapse all Expand all

How do I report a ULN problem?

	Given name	Family name	Date of birth	Gender	Postcode	Has Linked Record(s)	Info on Data Match	Select Learner
+	trible	tony	01 Jan 1973	Male	CV12WT	No		<input type="radio"/>

If your learner is not displayed above, click on this option and press continue

Can't find the learner you're looking for?

[Return to exception list](#)

[View PLR](#)

[Continue](#)

3.3 RC007 – Possible matches

RC007 is returned when you have tried to register a learner for a new ULN but the system believes one exists with similar (but not exact) information.

You should always check the following before processing this exception:

- Has the learner moved address and do the details need updating?
- Have any details been transposed?
- Is the learners' name is different from your records? i.e. does your records show the learners' preferred name but the LRS holds the learner's legal name?
- Has the learner's gender been recorded correctly? (1 – male, 2 – female)
- Does your learner have any relatives with similar details? (e.g. twin, sibling or parent)

How to process

1. Select "Process"
2. The "Find a learner" page will be presented with the latest search results. These may differ to the original results when the batch was submitted. In the example below the result is a possible match.



Find a learner

You searched for

Provided details MIS Identifier: **id1**

Given name	Family name	ULN	Date of birth	Gender	Postcode
karate	kid		15 Nov 1990	Male	B152TT

+ Show optional fields

Your search results: Possible Match

We were unable to find a match using the data you entered, however one of the records below may be your learner.

Collapse all Expand all

[How do I report a ULN problem?](#)

	Given name	Family name	Date of birth	Gender	Postcode	Has Linked Record(s)	Info on Data Match	Select Learner
+	karate	kid	<u>15 Nov 1980</u>	Male	B152TT	No	i	<input type="radio"/>

If your learner is not displayed above, click on this option and press continue

[Can't find the learner you're looking for?](#)

[Return to exception list](#)

[View PLR](#)

[Continue](#)

3. Click on “Select learner” to “View PLR” – to check if it is your learner or
4. Click on “Select learner” and “Continue”, if it is your learner. Selecting “Continue”, will resolve the exception. **Do not select a learner unless you are sure that the ULN belongs to them.** If you are unsure, confirm the information currently on the ULN with the learner first.
5. Where there are differences in the file submitted and the existing record, you will be presented with the “Compare and update profile” page:



Compare and update profile

The ULN for your learner is **1234567890**

Your search details have differences to the selected record. Please update the profile where appropriate.

Current profile

Given name * karate
 Preferred given name
 Middle name(s)
 Family name * kid
 Previous family name
 Date of birth * 15 Nov 1980
 Gender * Male
 Address line 1
 Address line 2
 Town
 County
 Postcode * B152TT
 Email lrsuattesting@biz.training
 UCI
 Family name at age 16
 Place of birth
 Nationality
 School at age 16
 Scottish candidate number
 Privacy Notice Seen? Yes

Searched details showing differences

Given name * karate
 Preferred given name
 Middle name(s)
 Family name * kid
 Previous family name
 Date of birth * 15 Nov 1890
 Gender * Male
 Address line 1
 Address line 2
 Town
 County
 Postcode * B152TT
 Email lrsuattesting@biz.training
 UCI
 Family name at age 16
 Place of birth
 Nationality
 School at age 16
 Scottish candidate number
 Privacy Notice Seen? Yes

Update

Do not save changes

Save changes

6. You will be able to:

- Reject all the changes,
- Accept all the changes, or
- Apply some of the changes – by removing the “tick” from the checkboxes.

7. If none of the search results presented are your learner:

- Select “If your learner is not displayed above, click on this option and press continue:

If your learner is not displayed above, click on this option and press continue

Can't find the learner you're looking for?

Return to exception list

View PLR

Continue



- You will be presented with the following:

Create ULN

Do you want to create a ULN with the details provided?

Note: Please ensure you have reviewed all possible matches before creating a new ULN.

No – Return to search results

Yes - Register learner

- Selecting “No – Return to search results” will take you back to the previous page
- Selecting “Yes – Register learner”, will take you to the “Register learner – details”. Once the learner is registered the exception will be removed from the exception list.

NOTE: you should only create a new ULN if you are sure that none of the ULNs belong to your learner, if you are unsure, complete all necessary checks with the learner before creating a new ULN.

3.4 RC008 – Too many possible matches

RC008 is returned when the system fails to find an exact match, and the system finds 10 or more possible matches. Always check that you are using a valid postcode (not a generic postcode).

How to process

- Select ‘Process’
- The “Find a learner” page will be presented with a list of “Too many matches”



Find a learner

You searched for

Provided details MIS Identifier: **id1**

Given name	Family name	ULN	Date of birth	Gender	Postcode
Chambers-Mendoza	Moysey		01 Jan 1992	Male	cv12tt

- Hide optional fields

Preferred given name	Middle name(s)	Previous family name	Email	UCI	UPN
			lrsuatesting@biz.training		

Your search results: Too Many Matches

Your search returned more than ten possible matches. For security reasons, only the closest ten records are displayed.

[Collapse all](#) [Expand all](#)

[How do I report a ULN problem?](#)

	Given name	Family name	Date of birth	Gender	Postcode	Has Linked Record(s)	Info on Data Match	Select Learner
+	Mendoza	Serra	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	Chambers	Cross	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	Tucker	Dawewevidson	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	David-Pelaez	Caldwell	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	Showers	Buring	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	Aowndrews	Potts	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	Corey	Sanders	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	Mudie	Mellor	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	McPherson	Griffin	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>
+	Higgins	Green-Simmons	01 Jan 1992	Male	CV12TT	No	i	<input type="radio"/>

If your learner is not displayed above, click on this option and press continue

[Can't find the learner you're looking for?](#)

[Return to exception list](#)

[View PLR](#)

[Continue](#)

- You will need to check if any of the learners displayed is actually your learner. You can do this by "Selecting Learner" and checking the PLR by clicking on "View PLR".
- If you can confirm that one of the search results is your learner:
 - Select the corresponding checkbox and click on "Continue"



5. Where there are differences in the file submitted and the existing record, you will be presented with the “Compare and update profile” page. You will be able to:
- Reject all the changes,
 - Accept all the changes, or
 - Apply some of the changes – by removing the “tick” from the checkboxes.

NOTE: If you click on “Select learner” and “Continue”, the exception will be resolved and will disappear from the exception list.

3.5 RC009 – RC011

These exceptions may have an issue because some of the details are wrong or missing. The details provided in your file are used to populate both the “Provided Details” and the “Find by Personal Details”. If you are processing multiple duplicate exceptions, the MIS Identifier field will show a link to a pop-up window, listing all of the MIS identifiers for the duplicates that are being processed.

3.5.1 RC009 No ULN match

RC009 is returned when the ULN supplied in your original file has not been recognised by the LRS or the ULN submitted does not match the Given Name / Family Name.

How to process

Check the ULN, Given Name and/or Family Name in the database against those submitted in your batch file. If you are confident the ULN was correct, you can amend the name fields on the Find a learner page after pressing process.

Find a learner

You can search for a learner by entering their personal details

Provided details

MIS Identifier: [Multiple MIS Identifiers](#)

ULN: **1234567890**

[What does this mean?](#)

Find by personal details

Mandatory fields are marked with an asterisk (*)

Given name *	<input type="text" value="Andrew"/>
Preferred given name	<input type="text"/>
Middle name(s)	<input type="text"/>
Family name *	<input type="text" value="Smyth"/>
Previous family name	<input type="text"/>
Date of birth *	<input type="text" value="01"/> <input type="text" value="January"/> <input type="text" value="1985"/>
Gender *	<input type="text" value="Male"/>
Postcode *	<input type="text" value="cv1 4pt"/>
Email	<input type="text" value="andrewsmyth@btworld.com"/>
UCI	<input type="text"/>
UPN	<input type="text"/>

Cancel

Search



3.5.2 RC010 Null Values

RC010 is returned when one or more of the mandatory fields Gender, Date of Birth and Postcode was missing.

How to process

1. Click on “Process”
2. You will be presented with the “Find a learner” page, where you will be able to enter any mandatory fields that have not been populated:

Find a learner

You can search for a learner by entering their personal details

Provided details	Find by personal details
MIS Identifier: id1	Mandatory fields are marked with an asterisk (*)
ULN:	Given name * <input type="text" value="aub"/>
What does this mean?	Preferred given name <input type="text"/>
	Middle name(s) <input type="text"/>
	Family name * <input type="text" value="broti"/>
	Previous family name <input type="text"/>
	Date of birth * <input type="text" value="18"/> <input type="text" value="December"/> <input type="text" value="1967"/>
	Gender * <input type="text" value="Male"/>
	Postcode * <input type="text"/>
	Email <input type="text" value="lrsuattesting@biz.training"/>
	UCI <input type="text"/>
	UPN <input type="text"/>
	<input type="button" value="Cancel"/> <input type="button" value="Search"/>

3. Once the mandatory fields have been entered, click on “Search”, which will return either “No match”, “Match”, “Possible match”, “Too many matches”.
4. You will then be able to process as normal.

3.5.3 RC011 Incorrect Format

RC011 is returned when the record submitted within in the original batch file does not meet LRS formats.

You should try checking the following:

- Mandatory field is missing (Given name / Family name)
- The learner is aged 13 years and above
- A valid verification type is supplied, between 0 and 7 or 999. If 999 is selected, Verification Other Description becomes a mandatory field.
- Check that none of the fields contain prohibited text. A list of prohibited values is available from the GOV.uk website.



- Postcode rejected as it is linked to a prohibited address
- The Privacy notice (Ability to share for 2A) is not valid

How to process

1. Click on “Process”
2. You will be presented with the “Find a learner” page, where you will be able to correct any of the fields that are incorrect:

Find a learner

You can search for a learner by entering their personal details

Provided details

MIS Identifier: X99999999999

ULN:

[What does this mean?](#)

Find by personal details

Mandatory fields are marked with an asterisk (*)

Given name *	<input type="text" value="FORENAME_1"/>
Preferred given name	<input type="text" value="Forename2"/>
Middle name(s)	<input type="text" value="Middle 2"/>
Family name *	<input type="text" value="SURNAME_1"/>
Previous family name	<input type="text"/>
Date of birth *	<input type="text" value="13"/> <input type="text" value="August"/> <input type="text" value="1999"/>
Gender *	<input type="text" value="Male"/>
Postcode *	<input type="text" value="CV1 2BT"/>
Email	<input type="text"/>
UCI	<input type="text"/>
UPN	<input type="text"/>

Cancel

Search

3. Click on “Search” and you will be presented with your search results.

3.6 RC012 – UPN or UCI incorrect format

The UPN and/or UCI submitted has been entered in an incorrect format. Expected format for UPN is A999999999999 or A999999999999A (for a temporary UPN) and the expected format for UCI is 999999999999A or 99999B999999A.

How to process

1. Click on “Process”
2. You will be presented with the “Find a learner” page, where you will be able to correct the fields that are incorrect (You will be able to check any errors – by clicking on the “Search” button).



Find a learner

You can search for a learner by entering their personal details

Provided details

MIS Identifier:

ULN:

[What does this mean?](#)

Find by personal details

There are one or more errors on this page. Please rectify the errors and search again.

Mandatory fields are marked with an asterisk (*)

Given name *	<input type="text" value="rainder"/>
Preferred given name	<input type="text"/>
Middle name(s)	<input type="text"/>
Family name *	<input type="text" value="trooper"/>
Previous family name	<input type="text"/>
Date of birth *	<input type="text" value="01"/> <input type="text" value="January"/> <input type="text" value="2003"/>
Gender *	<input type="text" value="Male"/>
Postcode *	<input type="text" value="BB2HL"/>
Email	<input type="text"/>
UCI	<input type="text" value="689990980002K1"/>
	<small>Exceeded max length (13)</small>
UPN	<input type="text"/>

Cancel

Search

3. Once the UPN/UCI has been corrected, click on the “Search” button, where the “Find a learner” page will present you with the search results.

3.7 RC013 Learner(s) outside of permitted age range

RC013 is returned where the date of birth value is outside the permitted age range of 11 and 110.

How to process

1. Click on “Process”
2. You will be presented with the “Find a learner” page, where you will be able to correct the date of birth.
3. Once corrected, click on the “Search” button. You will be presented with the “Find a learner” page and the search results of “Match”, “No match”, “Possible match” or “Too many matches”.



4 Duplicate Exceptions

If an organisation submits the same learner details multiple times, and receives the same return code each time, these will be marked as duplicates until processed. These are identified by the link “Process Duplicates”:

TEST90000061

+ Open filter options (Filter options applied)

<< < 1-10 of 1658 results > >>

<input type="checkbox"/>	Given name	Family name	Date of birth	Gender	Postcode	Organisation's file name	Return code	Expiry date	Action
	wnfd	sfasfasffaf	09 Jan 1951	Not known	pa49lh	HAmzahReturn	RC006	23 May 2019	Process duplicates
	Arunkumar	selva	28 Jan 1946	Female	G128AD	RC003_AllFields	RC006	10 Jun 2019	Process duplicates
	Arun	selva	28 Jan 1943	Female	mk44hd	RC003_AllFields	RC006	10 Jun 2019	Process duplicates

How to process

1. Click on “Process duplicates”, which will take you to the “Process duplicates exceptions” page:

Process duplicate exceptions

Duplicate exception summary

Given name	Family name	Date of birth	Gender	Postcode	Organisation's file name	Return code	Expiry date	Action
Arun	selva		Female	mk44hd		RC006		Process all

- Hide optional fields

Preferred given name	Middle name(s)	Previous family name	Email address	UCI	UPN
Richard	Chris	carey		68990980002K	K901200001001

Duplicate exceptions

<< < 1-4 of 4 results > >>

<input type="checkbox"/>	Given name	Family name	Date of birth	Gender	Postcode	Organisation's file name	Return code	Expiry date	Action
<input type="checkbox"/>	Arun	selva	28 Jan 1943	Female	mk44hd	RC003_AllFields	RC006	10 Jun 2019	Process single
<input type="checkbox"/>	Arun	selva	28 Jan 1943	Female	mk44hd	RC003_AllFields	RC006	10 Jun 2019	Process single
<input type="checkbox"/>	Arun	selva	28 Jan 1943	Female	mk44hd	RC003_AllFields	RC006	10 Jun 2019	Process single
<input type="checkbox"/>	Arun	selva	28 Jan 1943	Female	mk44hd	RC003_AllFields	RC006	10 Jun 2019	Process single

<< < 1-4 of 4 results > >>

4 Duplicates

How do I use this screen?

Delete selected records

Return to exception list



Education & Skills Funding Agency

There is the facility to:

- a) Process all or
 - b) Process single
2. By clicking on the “Process all” button, you will be present with the “Find a learner” page, along with the search results. Once you have created a new ULN or selected an existing ULN, All the exceptions will disappear.
 3. By clicking on “Process single”, you will be presented with the “Find a learner” page, along with the search results. Once this has been resolved with a new ULN or an existing ULN. Only one exception will be resolved.

NOTE: this screen will show all duplicate exceptions across all files, no matter what filter settings were applied to the exceptions list. Therefore, the number here may be higher than the total number of duplicates displayed on the exceptions list page.



5 Export processed exceptions

After you have processed your exceptions you can export the learner details. Your MI supplier may have built the ability for you to import the processed exceptions into your own system.

- Select the 'Export processed exceptions' button
- Select the file type (CSV or XML)
- Select download

The file will include details of the ULNs found or created when processing the exception. The file will only include exceptions that you have processed. It will not include all processed exceptions for the organisation.

The format of the file will match the last file submitted by your organisation (e.g. 2A or 3A). Where exceptions from 2A and 3A files have been processed, all exception details will be included in the exported file.

If the last file submitted was a 2A and exceptions have been processed from a 3A file, the details from both 2A and 3A will be included in the exported file but:

- For 3A processed exceptions, the UCI will not be included as this field does not exist in the 2A template
- For 3A processed exceptions, the middle name is mapped to the middle other name field
- For 3A processed exceptions, the privacy notice is mapped to the ability to share field

If the last file submitted was a 3A and exceptions have been processed from a 2A file, the details from both 3A and 2A will be included in the exported file but:

- For 2A processed exceptions, the middle other name is mapped to the middle name field
- For 2A processed exceptions, the ability to share field is mapped to the privacy notice field

Note: While UPNs can be submitted in batch files to support data matching, UPNs are not included in the processed exceptions files for legal/data protection reasons.



Appendix A: Batch return code descriptions



Batch return code descriptions

RC001 Linked Master ULN returned

LRS returned a match to a 'linked record'. Occasionally a provider may create duplicate ULNs for a learner by mistake. When this happens, the record(s) are linked together and only the most up to date record is displayed and can be updated.

Next Steps: Check the details of the record to confirm if this is your learner and, if necessary, update your MI system to record the ULN. If the details on the record do not belong to your learner, please raise a ULN data challenge.

RC002 ULN confirmed and updated

The details you submitted were matched to an existing learner record, and the latest details you provided were used to update LRS.

Next Steps: No further action required.

RC003 ULN confirmed

The details you submitted were matched to an existing learner record.

Next Steps: No further action required.

RC004 No match - New ULN created

No ULN record was found using the details you submitted, therefore a new ULN has been created.

Next Steps: No further action required.

RC005 No match - No ULN created

No ULN record was found using the details you submitted. A new ULN has not been created as the batch file was loaded using a submission type of Verification only (CHK).

Next Steps: To create a ULN for this learner, resubmit the batch file using a Full (FUL) submission type.

RC006 Insufficient data to create new ULN

No ULN record was found using the details you submitted. A new ULN has not been created as the Verification Type and/or Privacy Notice fields were not supplied.

Next Steps: To create a ULN for this learner, resolve the exception via the 'View Exceptions' screen.

RC007 Possible match

The details you submitted resulted in one or more possible matches.

Next Steps: Resolve the exception via the 'View Exceptions' screen.

RC008 Too many matches

The details you submitted resulted in more than 10 possible matches.

Next Steps: Review the possible matches on the 'View Exceptions' screen. If your learner is not displayed and you still need to register them, contact the helpdesk on 0345 6022589 or by email at lrs.support@education.gov.uk. After the learner is registered, you will be able to resolve the exception via the 'View Exceptions' screen by selecting the learner when it is returned by the search.

RC009 No ULN match - Serious error

The ULN you submitted does not match with the name details supplied.

Next Steps: Review the details you entered on the 'View Exceptions' screen.

RC010 Null values

One or more of the following mandatory fields were not submitted: Gender, DoB or postcode.

Next Steps: Re-submit the record with the mandatory fields completed.

RC011 Incorrect format

The details you submitted have one or more of the following errors:

- Mandatory fields missing
- Name field contains invalid characters
- Prohibited text in name fields
- Verification type not valid
- Date of birth not valid
- Privacy notice not valid
- Postcode rejected as linked to prohibited address

Next Steps: Resolve the exception to find or create your ULN, ensuring all information entered is accurate and valid.

RC012 Incorrect identifier format

The UPN and/or the UCI submitted were in the incorrect format. UPN format is 1 alpha character followed by 12 numeric (e.g. A999999999999) and UCI format is 12 numeric characters followed by 1 alpha character (e.g. 681990012058G).

Next Steps: Resolve the exception to find or create your ULN, ensuring all information entered is accurate and valid.

Note: Temporary UPNs can be submitted but will not be stored in LRS (as these may not be unique).

RC013 Learner(s) outside of permitted age range

The learner submitted was outside the permitted age range. Users can only register learners aged between 11 and 104.

Next Steps: To register a learner out of this age range contact the helpdesk on 0345 6022589 or by email at lrs.support@education.gov.uk. After the learner is registered, you will be able to resolve the exception via the 'View Exceptions' screen by selecting the learner when it is returned by the search.