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How to prepare an LRS batch file

April 2019

Audience: Batch File users

OFFICIAL



Contents

1	Introduction	4
1.1	Audience	4
1.2	Purpose.....	4
1.3	Reference documents	4
2	Overview	5
2.1	Interface types.....	5
2.2	How to best use the service	5
2.3	Web Services.....	6
3	Preparing your batch file.....	7
3.1	Filename formats.....	7
3.1.1	XML and CSV files	7
3.1.2	CTF files.....	7
3.2	File formats	8
3.2.1	Preparing an XML file.....	8
3.2.2	Preparing a CSV file.....	8
3.2.3	Formatting the CSV Batch File	12
3.2.4	Preparing a CTF file	14
3.3	Uploading the batch file.....	14
3.3.1	Submission Types	15
3.4	View batch file results.....	16
3.5	Output file.....	17
3.5.1	CSV File.....	17
3.5.2	XML Files	18
3.5.3	CTF Files.....	18
3.6	Nationality Code in the output file (for XML and CSV)	18
3.7	Escape Sequences	18
4	Validation Requirements	19
4.1	File Level Validation	19
4.1.1	Invalid File Type	19
4.1.2	Invalid File Name	20
4.1.3	No Header.....	20
4.1.4	Invalid Header	20
4.1.5	First Record Invalid	20



Education & Skills Funding Agency

4.1.6	Unmatched Record Count	20
4.1.7	Not a Valid XML Document	20
4.1.8	File Version Validation.....	20
4.1.9	Row (Record) Level Validation	20
5	Return Code (Definition).....	21
Appendix A – LRS Data Rules.....		22
Appendix B – Address Update Example		24
Appendix C – Data Restrictions		26
Valid Date of Birth.....		26
Valid Names		26
Prohibited Postcodes		27
Prohibited Text.....		27
Unique Candidate Identifier (UCI)		28
Unique Pupil Identifier (UPN)		28
Appendix D – CSV Batch File Example		29
Appendix E – Postcode Validation Rules.....		30
Appendix F – Email Validation Rules		31
Appendix G – Nationality Codes		32
Appendix H – XML Batch File Example		39
Appendix I – CTF ULN Batch File Example		40
Appendix J – Return Codes		42
RC001 Linked Master ULN		42
RC002 ULN Confirmed and Updated		42
RC003 ULN Confirmed		43
RC004 No Match – New ULN Created.....		44



1 Introduction

Important note for all versions of Batch Files.

This document should be read by all users creating batch files as it contains important information on the most up-to-date batch registration logic.

This document is intended to define the formats for the batch submission and return of ULN requests and allocations.

1.1 Audience

The audience for this document are those responsible for producing batch files to upload to the LRS Organisation Portal.

1.2 Purpose

The purpose of this document is to describe how to create a CSV or XML file. How to format and how to upload the batch to the LRS Organisation Portal, and what happens once the file has been uploaded successfully.

1.3 Reference documents

- CSV file template
- CSV file example
- XML file example
- Data encryption and passphrase guidance
- Managing Exceptions
- LRS Batch Validation Tool

All the above documentation can be found on [GOV.uk](https://www.gov.uk).



2 Overview

This section describes, at a high level, the different batch files available, the methods for uploading and an approach to deciding which is appropriate.

There are three types of batch files are:

- CTF file – submitted by schools or academies
- XML file – submitted by other education providers
- CSV file – submitted by other education providers

CSV batch file allows you to upload and process multiple learner records via the LRS Organisation Portal. It also allows you to download an output and exceptions report. We recommend all users create their files in CSV format.

The Batch Registration process behaves differently depending on whether or not a ULN is provided:

- When a ULN is provided for a learner, the LRS system attempts to perform a find and updates the ULN details, with the new information supplied.
- When no ULN is provided, the LRS system performs a search to identify a matching learner and return a response which indicates whether the update was successful (including the learner details held by the LRS in the case of an Exact Match).

2.1 Interface types

The LRS Organisation Portal allows you to download an output file that contains any new ULNs and updates via the LRS Organisation Portal in XML or CSV format file.

The output file will be in XML or CSV format, depending on the format of the uploaded file. The CTF output file will be in a XML format.

2.2 How to best use the service

LRS can be accessed in a number of ways. The best way for you depends on the software available to you, what you are using the service for and the number of learners you will be registering/updating. The options are:

- **Manually.** Users can manually input the data directly into the LRS Organisation Portal.
- **Batch (this document is to support this process).** Prepare batch files containing multiple learner details and submit them manually using the LRS Organisation Portal. The output file can be downloaded and then uploaded into your MIS system (if applicable). The output file may also contain exceptions which needs manual investigation to resolve. **The CTF output file will not include records where exceptions are created.**
- **Web Services.** Using these services, your Management Information (MI) software is linked into the Learner Register, automatically updating the LRS.



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2.3 Web Services

For more information on how to develop a MIS system, please see the [LRS: web services for management information system developers page](#) on GOV.UK.



3 Preparing your batch file

This section covers:

- Filename formats
- File formats
- Output files

3.1 Filename formats

3.1.1 XML and CSV files

For XML and CSV batch files (input) file names must have the following convention:

- LRB_XXXXXXXX_DDMMYYYYHHMM.XML or
- LRB_XXXXXXXX_DDMMYYYYHHMM.CSV

Where:

- The file name is case sensitive and must be in uppercase, including the file extension
- XXXXXXXX is your UKPRN number unique to your organisation. Your UKPRN can be found on the portal or using the [UKRLP website](#).
- DDMMYYYY is the date
- HH is the hour (24 hour clock i.e. 00 to 23)
- MM is the minutes (i.e. 00 to 59)
- XML is the extension if the file contains data in an XML format
- CSV is the extension if the file contains data in a CSV format.

The output files will have the following convention, according to the upload file type:

- LRB_XXXXXXXX_DDMMYYYYHHMM_OUTPUT.XML or
- LRB_XXXXXXXX_DDMMYYYYHHMM_OUTPUT.CSV

3.1.2 CTF files

CTF files must have the following filename convention:

- DfENumber_CTF_DfENumber_FileSequenceNumber.XML
e.g. 10024653_CTF_10024653_001.XML or
- DfENumber_ULN_DfENumber_FileSequenceNumber.XML e.g.
10024653_ULN_10024653.001.XML

Where DfENumber is the DfE number of your school, and FileSequenceNumber is the sequence of the data files.



3.2 File formats

3.2.1 Preparing an XML file

An example of an XML file can be found in Appendix H.

An incoming XML Batch File must be consistent with the XML schema definition. For more details on how to construct a file of this type, please refer to the XML schema definition file which can be found on the GOV.uk website as part of the [batch toolkit](#).

Validation rules for individual attributes within an XML file are the same as those described for CSV files.

For null values, the following XML convention should be used:

- `<ScottishCandidateNumber></ScottishCandidateNumber>` or
- `<ScottishCandidateNumber/>`

Refer to the [LRS Batch Toolkit](#) which has all the tools and guidance required to successfully create a CSV or XML batch file.

3.2.2 Preparing a CSV file

The first Data Row contains (See Appendix D):

- The File Header (any Header validation errors will be related to these values) comprising four fields:
 - FileVersion
 - FileName
 - UKPRN
 - LearnerRecordCount
- The first learner records in the remaining columns.

The second (and subsequent) Data Row(s) contain:

- Empty values for the File Header columns
- The subsequent learner records in the remaining columns

All fields in a CSV file need to abide by the following rules:

- Some columns are mandatory as described in the table below. This is to ensure that searching to see if the submitted record already exists can take place. There are two sets of fields that are used for searching for existing learner records, and the existence of either set is mandatory
 - ULN, Given Name and Family Name
 - Given Name, Family Name, Gender, Date of Birth and Postcode
- If you are creating the file in Excel, and are able to run the file through the Validation Tool, this formatting is not mandatory, as the formatting will be added automatically when saving the output file from the Validation Tool.



- **NOTE: When saving a CSV file in Excel, when prompted “are you sure you wish to continue using this format”, click Yes.**

Any record submitted without either of these sets of information will be rejected, as it will not contain sufficient data to search.

The following table provides further details on each column.

Column	Name	Example Data	Description	Validation Rules
A	FileVersion	3A	Version of the file being submitted. Relates to the Organisation Portal software version, although the value is only changed when the file format changes.	Mandatory. Must show '3A'. Must appear in first data row only.
B	FileName	ULN search September 15	Your file reference for internal purposes	Mandatory. Maximum 512 characters. Must appear in first data row only.
C	UKPRN	10012345	Your UK Provider Reference Number (UKPRN) as a Learning provider.	Mandatory. Must be 8 characters. Must match the UKPRN held within the LRS.
D	LearnerRecordCount	214	The number of learner records in the file.	Mandatory. Must be the number of data rows present in the file – number of lines in the file minus 1. Must appear in first data row only
E	ULN	1234567899	Unique Learner Number	Optional. 10 digit number
F	MISIdentifier	ABC123	An internal ID used by the LRB. Note that this is not stored within the Organisation Portal Secure Portal but is returned in the output file.	Optional. Maximum length 128 characters
G	Title	Ms	Title	Optional. 35 characters maximum
H	GivenName	Ann	Given Name	Mandatory. 35 characters maximum
I	PreferredGivenName	Annie	Preferred Given Name	Optional. 35 characters maximum. If not provided, will be populated by value provided in GivenName.



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J	MiddleNames	Jane	Middle Names	Optional 35 characters maximum.
K	FamilyName	Jones	Family Name	Mandatory. 35 characters maximum.
L	PreviousFamilyName	Smith	Previous Family Name	Optional. 35 characters maximum.
M	UniqueCandidateIdentifier	9999999999 A	Unique Candidate Identifier	Optional. Must be a valid UCI
N	UniquePupilNumber	A999999999 99	Unique Pupil Number	Optional. Must be a valid UPN.
O	FamilyNameAt16	Evans	FamilyNameAt16	Optional 35 characters maximum.
P	SchoolAtAge16	Myton School	Free text. Name of school the learner was attending when he / she turned 16.	Optional. 254 characters maximum
Q	LastKnownAddressLine1	51 The Avenue	First line of address	Optional - recommend 50 characters maximum NOTE: when updating the postcode field, the system will not automatically remove the old address details. You need to supply new address details.
R	LastKnownAddressLine2	First Floor Flat	Second line of address	Optional - recommended 50 characters maximum NOTE: when updating the postcode field, the system will not automatically remove the old address details. You need to supply new address details.
S	LastKnownAddressTown	Bedford	Town	Optional - recommended 50 characters maximum NOTE: when updating the postcode field, the system will not automatically remove the old address details. You need to supply new address details.
T	LastKnownAddressCountyorCity	Bedfordshire	County of City	Optional - recommended 50 characters maximum NOTE: when updating the postcode field, the system will not automatically remove



				the old address details. You need to supply new address details.
U	LastKnownPostCode	N17 6EE	Last Known Post Code	Optional if ULN present, otherwise mandatory. Please refer to Appendix E for Valid Postcode Rules
V	DateOfAddressCapture	2016-01-01	Date Of Address Capture	Optional. YYYY- MM-DD format. If not provided, will default to the system date
W	DateOfBirth	2001-11-15	Date Of Birth	Optional if ULN present, otherwise mandatory. YYYY-MM-DD format Age must be between 11 and 110 years.
X	PlaceOfBirth	Guildford	Place of birth	Optional. 35 characters maximum
Y	EmailAddress	annie@email.co.uk	Email Address	Optional. Must be valid email format. Please refer to Appendix F for Valid Email Rules.
Z	Gender	2	Gender	Optional if ULN present, otherwise mandatory. Options: 0 = Not Known. (Gender not recorded) 1 = Male 2 = Female 9 = Not Specified. (Unable to be classified)
AA	Nationality	GBR	Nationality	Optional. Two or three characters or 3 digits CDD compliant code Maximum 3 characters. Please refer to Appendix G.
AB	ScottishCandidateNumber	123456789	Scottish Candidate Number	Optional. Maximum 9 characters
AC	PrivacyNoticeSeen	1	Privacy Notice Seen	Optional. (Mandatory if creating a new ULN). Must be 0 or 1, where 0 = 'No' 1 = 'Yes'
AD	VerificationType	1	Verification Type	Optional. (Mandatory if creating a new ULN).



				Must be one of: 0=None provided 1=Relationship with school 2=Passport 3=Driving licence 4=ID Card or other form of national identification 5=National Insurance Card 6=Certificate of Entitlement to Funding 7=Bank/Credit/Debit Card 999=Other
AE	OtherVerification Description	Visa	Free text description of other verifications documentation	Should be empty unless Verification Type = 999 (Other). 55 characters maximum
AF	Notes		Any extra information about the learner. NB: this field for LRS use only.	Optional. 4000 characters maximum.

3.2.3 Formatting the CSV Batch File

Once you have prepared your CSV batch file, you will need to format it. This can be done in one of two ways:

- The LRS Validation Tool automatically produces a pre-formatted CSV file ready to upload to the Organisation Portal. The Validation Tool checks that the file meets the LRS field constraints, it does not validate the data. More information about installing and using the Validation Tool can be found on the [GOV.uk website](http://gov.uk).
- Manually formatting your CSV batch file. Step by step instructions can be found below on how to do this.

3.2.3.1 Manually format the CSV file

- Open the file in Excel

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	X	Y	Z	AA	AB	AC	AD	AE	AF		
1	FileVerst	FileName	UKPRN	LearnerPU	ULN	MSIdentifi	Title	GivenName	Preferred	MiddleName	FamilyName	Previous	UniqueCa	UniquePu	FamilyName	SchoolAt	LastKnow	LastKnow	LastKnow	LastKnow	DateOfAc	DateOfBt	PlaceOfB	EmailAdd	Gender	Nationalit	ScottishC	Privacy	Verificatio	OtherVerit	Notes		
2	3A	ULN Che	90000061	2	73448572	SNT1001	Mr	Morris	Mo	John	Manson		99999999	A9999999	Manson		Flat 1	Rock House		Coventry	CV8 3TR		*****	*****	*****								
3						SNT1002		Sally		Louise	James																						

Image 1

- If there is data entered into columns V and/or W, highlight all data (not including the heading), right click and select Format Cells
- In the box that opens, select the Custom tab
- In the Type: field, enter "YYYY-MM-DD" as shown in image 2.

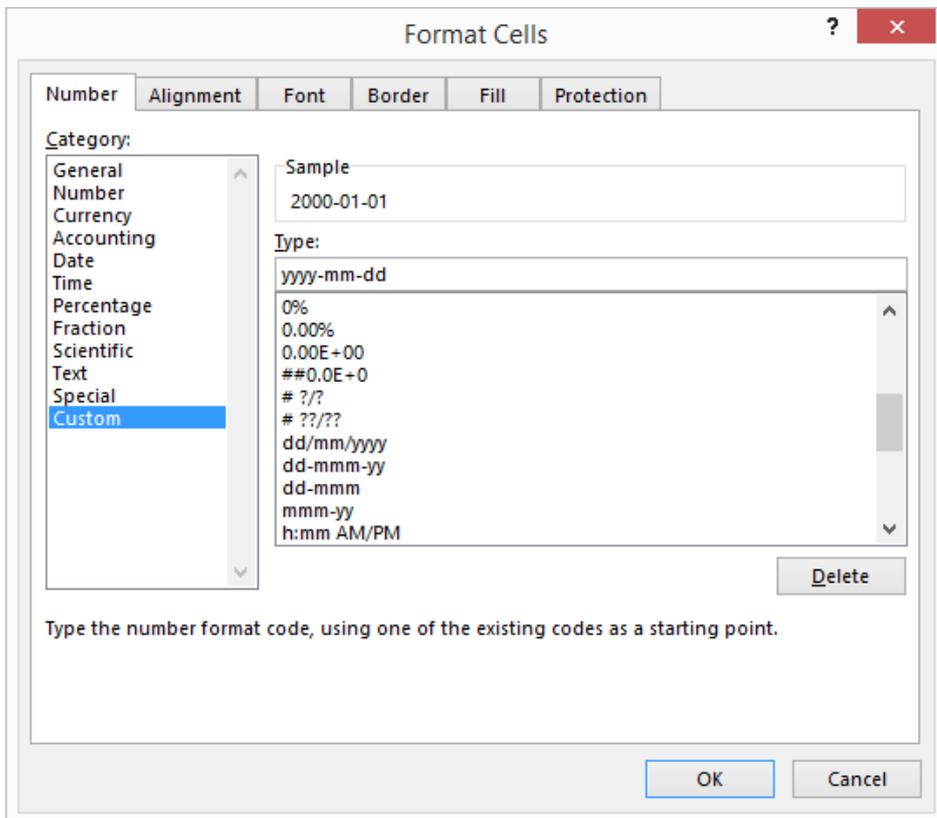


Image 2

- Select OK at the bottom of the window to confirm the changes
- The dates should now be in the correct format, as per image 3.

	W	
Jr	DateOfBirth	PI
	1993-09-12	
	1999-03-27	

Image 3

Next

- Recheck that all the data is correct, especially in the mandatory fields. Look out, for example, for letters instead of numbers and vice versa in the post codes: upper case i (I), lower case L (l) and the number one (1) can appear very similar!

Next

- Save your file as a CSV file. Make sure you can see the file extension on saved files and that the extension is in uppercase (image 4).

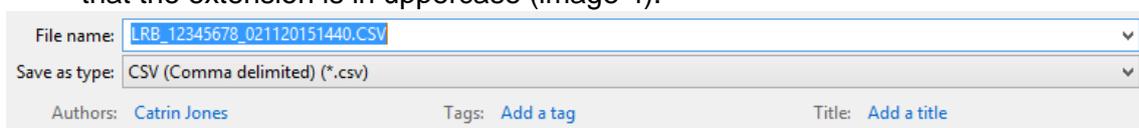


Image 4



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- Save the file with the correct file name format. Refer to section 3.1 for more information regarding the file name convention.
- It is important that you change the file type to CSV, and that you enter the CSV in **UPPER CASE**.

Please see Appendix C for the restrictions on data that may be submitted to the Learning Records Service.

Refer to the [LRS Batch Toolkit](#) which has all the tools and guidance required to successfully create a CSV or XML batch file. For additional examples of an LRB Batch file in CSV format, please refer to Appendix D.

3.2.4 Preparing a CTF file

The method of exporting a CTF file will vary depending on your MI system, however if your MI system prompts you to select a destination when creating your CTF file, please select your own school rather than the local authority.

The CTF file is the same file format that you may have previously submitted to the School to School (S2S) system to obtain ULNs.

For further information on how to create your CTF file, please refer to the guidance provided by your MI supplier – the CTF file format is not developed or maintained by the Learning Records Service.

3.3 Uploading the batch file

The batch files should be uploaded to the portal directly.

- Go to the Learner Management tab
- Select Learner Management from the left hand menu
- Select Submit Batch File



You are here: [Submit batch file](#)

[Welcome](#)

[Learner Management](#)

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

[Organisation Management](#)

- [Find Organisation](#)
- [Create Organisation](#)

[Learner Verification](#)

- [Verify Single Learner](#)
- [Submit Batch Job](#)
- [View Batch Jobs](#)

Submit batch file

Step 1: Browse to choose your batch file

No file is chosen

Filename and format guidance

For information and guidance on the format of batch files or the name of batch files, please use the links below:

[CTF batch file guidance](#) (for schools/academies only)

[LRB batch file guidance](#) (for Further Education providers)

For XML and CSV files you will need to select the submission type:

You are here: [Submit batch file](#)

[Welcome](#)

[Learner Management](#)

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

[Organisation Management](#)

- [Find Organisation](#)
- [Create Organisation](#)

[Learner Verification](#)

- [Verify Single Learner](#)

Submit batch file

Step 2: Submit your batch file

The file you have chosen, LRB_QCFUKPRN_160320181351.XML is an LRB batch file.

Before submitting, please select the submission type Verification only (CHK) or Full (FUL) submission.

Verification Only (CHK) Full Submission (FUL)

Submission type guidance

For a description of the Verification Only and Full Submission types click [here](#)

3.3.1 Submission Types

There are two types of batch submissions – Verification Only (CHK) and Full (FUL) Submission.

Verification Only (CHK) - Use this submission type when you only wish to check whether a learner already exists in LRS (e.g. prior to enrolment).

When a batch file is submitted for verification only, no ULNs will be created and the output file will only contain ULNs for learners where LRS was able to accurately match to an existing record. No data in LRS will be updated when files are submitted for verification only.



Full (FUL) submission - Use this submission type when you are sure you need to generate ULNs for the learners in your file or you need to update your learner's data in LRS (e.g. typically after enrolment).

When a batch file is submitted in full, new ULNs will be created where a learner does not already exist in LRS. Where a learner does exist in LRS, your data may be used to update the record LRS. When the data you supplied could not be used to create or return a ULN, exceptions are generated.

The output file will contain a return code for each learner. Where exceptions or errors have been raised, these can either be corrected manually via the LRS Organisation portal, or resubmit the corrections in your next CSV or XML submission to the LRS.

The Learning Records Service encourages you to supply the most up-to-date details about the learners in order to maintain and improve the quality of the information shared with appropriate partners. It is for this reason there are rules applied to how the Learning Records Service will process the data that is supplied within the batch updates. For more information, please refer to Appendix A.

Note: Submission type is not applicable for CTF ULN files.

Once the file has been uploaded, you will receive a notification email to the email address supplied in the batch file.

3.4 View batch file results

You can view the status of your batch files by selecting View Batch Files 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 TEST90000061 (90000061)

+ 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

Here you can see all batch files submitted for your organisation. You will be able to see the number of outstanding exceptions on each batch file submitted. Where there are any exceptions, there will be a "View exceptions" link. See [Managing exceptions user guide](#) on how to resolve exceptions.

Note: Once exceptions are resolved, the number of unresolved exceptions are automatically updated to display the current count.



To view the results of an individual file, select “View batch file details. The batch file details page is then displayed:

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		Original File	
Job ID	22819	RC001	Linked Master ULN returned 0
Date	24 Apr 2019 14:15:43	RC002	ULN confirmed and updated 0
Type	FUL	RC003	ULN confirmed 0
Status	Complete	RC004	No match - New ULN created 0
User	AUT05A	RC005	No match - No ULN created 0
File name	LRB_90000061_120320180958.xml		Original exceptions (RC006-RC013) 2
Organisation's file name	File1		Total records submitted 2
Start date	24 Apr 2019 14:15:45	Unresolved exceptions	
End date	24 Apr 2019 14:15:45	RC006	Insufficient data to create new ULN 0
Duration	00:00:00.2960000	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](#)

From here, you will also be able to select the “view exceptions” button to see any exceptions

3.5 Output file

There are three download (output) file formats.

- CSV file
- XML file
- CTF file
-

The output file can be produced in the following way

1. From the “View batch file” page, select “Download output file” link or
2. From the “View file detail” page, select the “Download output file” button

3.5.1 CSV File

The format of the Results File is identical to the uploaded CSV file, except a ReturnCode is added at the end of each data row as an extra column. The ReturnCode attribute will additionally include a timestamp. ReturnCode with timestamp is one CSV column.



3.5.2 XML Files

The XML file of results will be consistent with the XML schema definition. This is identical to the XML format of the upload XML file with ReturnCode added at the end of each learner. The ReturnCode attribute will additionally include a timestamp. ReturnCode with timestamp is one XML tag.

3.5.3 CTF Files

The CTF output file will always have a filename of:

[DfE of school who submitted the file]_CTF_[DfE of school who submitted the file].[sequence number of file submitted].xml e.g. 1234567_CTF_1234567_001.xml .

If the uploaded file had ULN in the filename (which is accepted) the output file is still changed to CTF.

The file will be in the same XML format as the uploaded CTF and will include any ULNs found or created against the learner details submitted. There will be no return codes included in this file. Where a ULN was not found or created for a learner, the learner details are not included in the output file.

The output file will be available as soon as the submission file has been processed and can be re-downloaded once exceptions have been resolved and the ULN has been found or created (with the learner details).

3.6 Nationality Code in the output file (for XML and CSV)

Even though the input file may contain any of the three valid formats for the Nationality Code, the output file will always contain the 3 Alpha Character format. Please see Appendix G for Nationality Codes.

3.7 Escape Sequences

In order for XML files to be considered valid, they must not include ampersand, angle bracket, quote or apostrophe in their literal form within the data. Instead, the following escape sequences should be used:

Character	XML Escape Sequence
<	<
>	>
&	&
"	"
'	'



4 Validation Requirements

This section describes the rules applied to a submitted file that will automatically cause the rejection of either the whole file, or individual rows.

There are two validation levels:

- File level validation
- Row (record) level validation.

4.1 File Level Validation

File level validation is carried out when batch files are submitted via the Submit Batch file web page on the LRS Organisation Portal.

If file level validation fails then the file will not be uploaded, and an error message will be displayed to the user via the web page.

The only file level validation performed at processing is checking the LearnerRecordCount, if this wrong this will be classed as a file failure.

The following table contains the validation scenarios and the messages used in each. The last column explains whether the message is displayed in the output file, or on the Portal.

Validation	Message displayed on the Portal or written in Output file	On Portal or In Output file
File type validation	The file type is invalid. Please check that the format is either CSV or XML (AL120)	On Portal page
Filename validation	You have entered an invalid file name. Please change the filename (AL121)	On Portal page
Header validation	The file contains no header. Please correct the file and re-submit. (AL122)	On Portal page
Header validation	The file contains an invalid header. Please correct the file and re-submit. (AL123)	On Portal page
First record validation	The first record in the file is in an incorrect format. Please check the file format. (AL124)	On Portal page
Record count validation	The file contains non matching record count. Please correct the file and re-submit.	On View Job Portal screen when the job is marked as failed
XML file validation	The File submitted is not a valid XML Document. (AL142)	In the output file
File version validation	This file version is not supported. Please correct the file and re-submit. (AL146)	On Portal page

4.1.1 Invalid File Type

The extension part of the file name (i.e. after the "."), must be of the form defined in Section 3. The Batch File is rejected with the error message AL120.



4.1.2 Invalid File Name

The main part of the file name (i.e. before the ".") must be of the form defined in section 2. The Batch File is rejected with error message AL121.

4.1.3 No Header

There must be a Header part in the first data row of the CSV file as specified in section 3. The Batch File is rejected with the error message AL122.

4.1.4 Invalid Header

The Header part of the first data row of the CSV file has incorrect format, column order or number of columns. The Batch File is rejected with the error message AL123.

4.1.5 First Record Invalid

The first record is checked for the validity of the data, and if it is invalid the file is rejected. The Batch File is rejected with the error message AL124.

4.1.6 Unmatched Record Count

The number submitted as LearnerRecordCount should match the total number of learner records submitted. If the Batch File fails the above validation, the error is visible through the View Batch Registrations screen on the Portal (and is reported as a Failed Job on this screen).

4.1.7 Not a Valid XML Document

XML files must contain an XML Declaration (see Appendix H for an example). The XML declaration should comply with the example format and the version and encoding must be present. Any deviation from this format will cause the validation to fail. The Batch File is rejected with the message AL142.

4.1.8 File Version Validation

There is a data item called FileVersion which appears as a column in the CSV format, and a element in the XML file format. The only value which can currently be provided for this field is 2A or 3A. Any other value will result in this validation failure. The Batch File is rejected with the error message AL146.

4.1.9 Row (Record) Level Validation

Record level validation errors only apply to the learner data in the Batch Files. Record level validation does not cause the Submit Batch LRB Registrations web page to fail to upload the file. Record level validation errors do, however, cause exception result codes to be reported against the relevant learner records in the output file, rather than the normal information result codes associated with the normal learner registration processing.

The information and exception result codes are shown in section 5, together with an indication of whether they can be returned when a ULN is provided.



5 Return Code (Definition)

Code	Description	Information or Exception	Learner supplied	
			with ULN	without ULN
RC001	Linked Master ULN returned	Information	✓	✓
RC002	ULN Confirmed and Updated	Information	✓	
RC003	ULN Confirmed	Information	✓	✓
RC004	No Match - New ULN Created Note: newly created ULN is returned in the ULN data column	Information		✓
RC005	No Match - No ULN Created*	Information		✓
RC006	Insufficient Data to create new ULN	Exception		✓
RC007	Possible Match	Exception		✓
RC008	Too Many Matches	Exception		✓
RC009	No ULN Match - Serious Error	Exception	✓	
RC010	Null Values	Exception		✓
RC011	Incorrect Format	Exception	✓	✓
RC012	UCI or UPN Incorrect Format	Exception	✓	✓
RC013	Learner(s) outside of permitted age range	Exception	✓	✓

*Verification (CHK mode) only.

The following is a detailed description of the result codes in the order that they are processed. For brevity, the following terms are used:

- <ULNIdentifying fields> are the set of fields {ULN, GivenName, FamilyName} which allow a ULN search to be performed for the learner
- <DemographicIdentifying fields> are the set of fields {GivenName, FamilyName, Gender, Date of Birth, Postcode} which allow a demographic search to be performed for the learner

For a more detailed explanation of each return code, please see Appendix J.



Appendix A – LRS Data Rules

1. Updates will be performed if the submitted learner is supplied with or without a ULN. Learners submitted without a ULN will be searched to identify a matching learner (or possible matches) held by the LRS or to create a ULN for new learners if no match can be found.

If the LRS Organisation Portal identifies an exact match (one learner), the data held about the learner will be returned.

If the LRS Organisation Portal finds an exact match and you want to perform an update, the system will automatically update the fields identified and the data held about the learner will be returned. A CSV or XML file can contain learner details with or without ULNs, as the system processes each row individually.

All non-demographic fields can be updated.

2. If the learner has previously set the Privacy notice (Ability to Share for 2A) preference themselves, further changes to Privacy notice (Ability to Share for 2A) by an organisation will not be allowed which will result in an RC011 being returned.

Note that if the learner has set their preference, then this field will be ignored during processing but this will not affect whether an update occurs to any other fields.

3. The Nationality code can be provided in any of three formats as documented in Appendix G (but the LRS Organisation Portal will return them in 3 Alpha character format only).
4. Any of the five demographic fields (Given Name, Family Name, Date of Birth, Gender, and Postcode) can be updated if the provided Verification Type is other than “None Provided” (0) and the updated learner details do not create a duplicate record for the learner.

Where the supplied five demographic fields exactly match those of another ULN record, RC011: Incorrect Format is returned.

5. Processing updates to the address fields will only occur when
 - A new postcode is supplied
or
 - The same post code as held in the LRS Organisation Portal is supplied and at least one of the following fields is provided by the LRB in the batch file:

Last Known Address Line 1
Last Known Address Line 2
Last Known Address Town
Last Known Address County or City

For examples of types of address updates refer to Appendix B. No value other than Postcode is supplied (by the LRB) and held (by the LRS Organisation Portal) and they differ.

The LRS Organisation Portal will reflect supplied postcode.



When the address is updated, the 'Date of Address Capture' field will be updated with the value supplied in the batch file (if this is not supplied then the current system date will be used to populate this field).

When an update occurs the provided postcode will be updated in the LRS Organisation Portal and will be returned.

6. The 'Verification Type' and 'Verification Other Description' fields will be updated if supplied in the batch file, even where values are already held by the LRS Organisation Portal. These two fields will be updated as a group rather than individually (if either of the fields is updated, then the other will also be updated at the same time).

The following validation rules apply to these two fields:

- Verification Type must be one of the values recognised by the system.
- If Verification Type is Other, Other Verification Description must be populated.
- If Verification Type is not Other, Other Verification Description must be blank.

Restrictions apply on the data that may be registered or updated on the LRS Organisation Portal. Please see Appendix C for these restrictions.



Appendix B – Address Update Example

Address	Supplied	Held	Updated to
Line 1			
Line 2			
Town			
County or City			
Postcode	NW1 2PL	LS16 7RT	NW1 2PL

A full address is held, the supplied Postcode is different from that held in the LRS Organisation Portal and there are no other supplied address details.

The LRS Organisation Portal will be updated to the supplied Postcode. The Service will only update the supplied Postcode and no other address details will now be updated.

Address	Supplied	Held	Updated to
Line 1		1 Thacker Street	1 Thacker Street
Line 2			
Town		Leeds	Leeds
County or City		West Yorkshire	West Yorkshire
Postcode	NW1 2PL	LS16 7RT	NW1 2PL

The Postcode supplied is the same as the Postcode held but the address details differ.

The LRS Organisation Portal will update the supplied address details and the other address fields held will remain the same.

Address	Supplied	Held	Updated to
Line 1	1 William Road	87 Gore Street	1 William Road
Line 2		South Bank	South Bank
Town		Wandsworth	Wandsworth
County or City	London	London	London
Postcode	NW1 2PL	NW1 2PL	NW1 2PL

The Postcode supplied is the same as the Postcode held but no address details are supplied. No change is made to either the Postcode or address details held by the Learning Records Service.

Address	Supplied	Held	Updated to
Line 1		1 William Road	1 William Road
Line 2			
Town			
County or City		London	London
Postcode	NW1 2PL	NW1 2PL	NW1 2PL



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Both the Postcode and address details supplied differ from those held by the Learning Records Service.

The LRS Organisation Portal will update the supplied address details.

Address	Supplied	Held	Updated to
Line 1	1 William Road	1 Thacker Street	1 William Road
Line 2			
Town		Leeds	Leeds
County or City		West Yorkshire	London
Postcode	NW1 2PL	LS16 7RT	NW1 2PL



Appendix C – Data Restrictions

The following restrictions apply during the registration and updating of learners and must be used in conjunction with the Data Quality Guidance documentation:

Valid Date of Birth

The age of the learner as derived from the Date of Birth provided must fall within parameters defined within the LRS Organisation Portal. These are currently as follows:

- Minimum age = 11
- Maximum age = 110

If the age of the learner falls outside these parameters, then RC013 – ‘Learner(s) outside of permitted age range’.

Valid Names

Valid names must always contain at least one upper case character (A-Z) or one lower case character (a-z). That these values are subject to change, and any change will be clearly noted. The following characters are permissible in a Valid Name:

- space
- the upper case characters A-Z
- the lower case characters a-z
- ' (normal apostrophe)
- ` (backwards apostrophe)
- - (hyphen)
- . (dot)

The name must not contain (in upper or lower case):

- <space>KNOWN<space>'
- '<space>KNOWNAS<space>'
- '<space>KNOWN<space>AS<space>'
- '<space>AKA<space>'
- '<space>KA<space>'
- '<space>K<space>AS<space>'
- '<space>KWN AS<space>'
- '<space>A<space>K<space>A<space>'
- '<space>K<space>A<space>'
- '<space>KN<space>AS<space>'
- '<space>WAS<space>'
- '<space>USED<space>'
- '<space>PREVIOUSLY<space>'
- '<space>PREV<space>'
- '<space>PRE<space>'
- '<space>THEN<space>'



- '<space>FORMERLEY<space>'
- '<space>FORMERLY<space>'
- '<space>PREFERRED<space>'
- '<space>NEE<space>'
- '<space>VEL<space>'
- '<space>CHANGE<space>'
- '<space>LEGAL<space>'
- '<space>BIRTH<space>'
- '<space>CHANGE<space>'
- '<space>CONTACT<space>'
- '<space>PRONOUNCE<space>'
- '<space>PRONOUNCED<space>'
- '<space>OR<space>'
- '<space>DUPLICATE<space>'
- '<space>DO NOT<space>'
- 'UNKNOWN'
- 'NOT<space>KNOWN'
- 'NOTKNOWN'
- 'DO<space>NOT<space>USE'
- 'DUPLICATE'

No text other than the Name itself (such as text relating to the status of the Name) should be included as part of the Name.

This restriction is applied to the Given Name, Preferred Given Name, Middle Other Name, Family Name, Previous Family Name and Family Name at 16 fields.

RC011 - Incorrect Format is used to indicate that this restriction has been violated.

Prohibited Postcodes

Postcodes distinctly associated with prisons and offender institutions will be rejected during registration or updating.

This restriction is applied to the Postcode field.

RC011 - Incorrect Format is used to indicate that this prohibition has been violated.

Prohibited Text

The Learning Records Service has the ability to restrict inappropriate words or phrases during registration and updating of learner details so as to prevent entry of data which may subsequently cause the learner to be discriminated against. Active back-end analysis is undertaken and active steps are taken to prevent the entry of and correct inappropriate or discriminatory data.

This restriction is applied to the Title, Given Name, Preferred Given Name, Middle Other Name, Family Name, Previous Family Name, Family Name At 16, School at Age 16, Last Known Address 1, Last Known Address 2, Last Known Town, Last Known County or City,



Education & Skills Funding Agency

Place of Birth, Email Address, Scottish Candidate Number, Other Verification Description and Notes fields.

RC011 - Incorrect Format is used to indicate that this prohibition has been violated.

Unique Candidate Identifier (UCI)

The UCI must be in a valid format. The formats accepted are:

999999999999A

99999B999999A (international centres only)

Unique Pupil Identifier (UPN)

The UPN must be in a valid format. The expected format is:

A999999999999

A99999999999A (for temporary UPN)



Appendix D – CSV Batch File Example

Column Titles	First data row	Learner record 1	Learner record 2
FileVersion,FileName,UKPRN,LearnerRecordCount,Uln,MISIdentifier,Title,GivenName,PreferredGivenName,MiddleNames,FamilyName,PreviousFamilyName,UniqueCandidateIdentifier,UniquePupilNumber,FamilyNameAt16,SchoolAtAge16,LastKnownAddressLine1,LastKnownAddressLine2,LastKnownAddressTown,LastKnownAddressCountyorCity,LastKnownPostCode,DateOfAddressCapture,DateOfBirth,PlaceOfBirth,EmailAddress,Gender,Nationality,ScottishCandidateNumber,PrivacyNoticeSeen,VerificationType,OtherVerificationDescription,Notes	3A,Test,12345678,2,,Jay,,Biggs-By,,,,,,,,,CV12WT,,1988-02-02,,,2,,,1,1,,	,,,,,Soni,,,Sing-By,,,,,,,,,CV12WD,,1988-01-01,,,1,,,1,1,,	

	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	AA	AB	AC	AD	AE	AF
1	UKPRN	LearnerRec	Uln	MISidentifi	Title	GivenNam	PreferredG	MiddleNam	FamilyNam	PreviousFa	UniqueCan	UniquePup	FamilyNam	SchoolAtA	LastKnown	LastKnown	LastKnown	LastKnown	DateOfAdc	DateOfBirth	PlaceOfBiri	EmailAddn	Gender	Nationality	ScottishCa	PrivacyNot	Verification	OtherVerif	Notes	
2	12345678	2			Jay	Biggs-By													CV12WT	1988-02-02			2			1	1			
3					Soni	Sing-By													CV12WD	1988-01-01			1			1	1			
4																														
5																														
6																														

The file should contain exactly one row containing Column Titles. The row should contain exactly the following, on one line: **(Please do not cut and paste from this page.)**

FileVersion,FileName,UKPRN,LearnerRecordCount,Uln,MISIdentifier,Title,GivenName,PreferredGivenName,MiddleNames,FamilyName,PreviousFamilyName,UniqueCandidateIdentifier,UniquePupilNumber,FamilyNameAt16,SchoolAtAge16,LastKnownAddressLine1,LastKnownAddressLine2,LastKnownAddressTown,LastKnownAddressCountyorCity,LastKnownPostCode,DateOfAddressCapture,DateOfBirth,PlaceOfBirth,EmailAddress,Gender,Nationality,ScottishCandidateNumber,PrivacyNoticeSeen,VerificationType,OtherVerificationDescription,Notes



Appendix E – Postcode Validation Rules

The postcode validation is based on BS7666. The postcode validation implementation is not case sensitive. The validation is implemented by evaluating the postcode string against 2 regular expressions.

`^[A-Z]{1,2}[0-9R][0-9A-Z]?,[0-9][ABDEFGHJLNPQRSTUVWXYZ]{2}$`

and

`^BFPO,[0-9]{1,4}$`,

Post code must satisfy either of these regular expressions. In plain English, the postcode validation rules are:

- Starts with 1 or 2 letters that are in the range A to Z.
- Followed by a number in the range 0 to 9 or the letter R.
- Followed by an optional number in the range 0 to 9 or an optional letter in the range A to Z.
- Followed by an optional space.
- Followed by a number in the range 0 to 9.
- Followed by 2 letters from the set ABDEFGHJLNPQRSTUVWXYZ.
- END

and

- Starts with the letters BFPO.
- Followed by an optional space.
- Followed by 1 to 4 numbers in the range 0 to 9.
- END



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Appendix F – Email Validation Rules

Email Addresses should follow the standard format and must not contain more than 254 characters.

Learner email addresses must not contain prohibited text.



Appendix G – Nationality Codes

Codes			Country
00	000	000	Not known
AF	AFG	004	Afghanistan
AX	ALA	248	Aland Islands
AL	ALB	008	Albania
DZ	DZA	012	Algeria
AS	ASM	016	American Samoa
AD	AND	020	Andorra
AO	AGO	024	Angola
AI	AIA	660	Anguilla
AQ	ATA	010	Antarctica
AG	ATG	028	Antigua and Barbuda
AR	ARG	032	Argentina
AM	ARM	051	Armenia
AW	ABW	533	Aruba
AU	AUS	036	Australia
AT	AUT	040	Austria
AZ	AZE	031	Azerbaijan
BS	BHS	044	Bahamas
BH	BHR	048	Bahrain
BD	BGD	050	Bangladesh
BB	BRB	052	Barbados
BY	BLR	112	Belarus
BE	BEL	056	Belgium
BZ	BLZ	084	Belize
BJ	BEN	204	Benin
BM	BMU	060	Bermuda
BT	BTN	064	Bhutan
BO	BOL	068	Bolivia
BA	BIH	070	Bosnia and Herzegovina
BW	BWA	072	Botswana
BV	BVT	074	Bouvet Island
BR	BRA	076	Brazil
BQ	ATB	???	British Antarctic Territory
IO	IOT	092	British Indian Ocean Territory
BN	BRN	096	Brunei
BG	BGR	100	Bulgaria
BF	BFA	854	Burkina Faso
BU	BUR	104	Burma
BI	BDI	108	Burundi
BY	BYS	112	Byelorussian SSR
KH	KHM	116	Cambodia



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CM	CMR	120	Cameroon
CA	CAN	124	Canada
CT	CTE	128	Canton and Enderbury Islands
CV	CPV	132	Cape Verde
KY	CYM	136	Cayman Islands
CF	CAF	140	Central African Republic
TD	TCD	148	Chad
CL	CHL	152	Chile
CN	CHN	156	China
CX	CXR	162	Christmas Island
CC	CCK	166	Cocos (Keeling) Islands
CO	COL	170	Colombia
KM	COM	174	Comoros
CG	COG	178	Congo
CD	COD	180	Congo Democratic Republic
CK	COK	184	Cook Islands
CR	CRI	188	Costa Rica
HR	HRV	191	Croatia
CU	CUB	192	Cuba,
CY	CYP	196	Cyprus
CZ	CZE	203	Czech Republic
CS	CSK	200	Czechoslovakia
DY	DHY	204	Dahomey
YD	YMD	720	Democratic Yemen
DK	DNK	208	Denmark
DJ	DJI	262	Djibouti
DM	DMA	212	Dominica
DO	DOM	214	Dominican Republic
NQ	ATN	216	Dronning Maud Land
TP	TMP	626	East Timor
EC	ECU	218	Ecuador
EG	EGY	818	Egypt
SV	SLV	222	El Salvador
GQ	GNQ	226	Equatorial Guinea
ER	ERI	232	Eritrea
EE	EST	233	Estonia
ET	ETH	231	Ethiopia
ET	ETH	230	Ethiopia
FK	FLK	238	Falkland Islands
FO	FRO	234	Faroe Islands
DE	DEU	280	Federal Republic of Germany
FJ	FJI	242	Fiji
FI	FIN	246	Finland
FI	FIN	246	Finland



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FR	FRA	250	France
GF	GUF	254	French Guiana
PF	PYF	258	French Polynesia
TF	ATF	260	French Southern Territories
AI	AFI	262	French Territory of Afars and Issas
GA	GAB	266	Gabon
GM	GMB	270	Gambia The
GE	GEO	268	Georgia
DD	DDR	278	German Democratic Republic
DE	DEU	276	Germany
GH	GHA	288	Ghana
GI	GIB	292	Gibraltar
GE	GEL	???	Gilbert and Ellice Islands
GE	GEL	296	Gilbert Islands
GR	GRC	300	Greece
GL	GRL	304	Greenland
GD	GRD	308	Grenada
GP	GLP	312	Guadeloupe
GU	GUM	316	Guam
GT	GTM	320	Guatemala
GG	GGY	831	Guernsey
GN	GIN	324	Guinea
GW	GNB	624	Guinea-Bissau
GY	GUY	328	Guyana
HT	HTI	332	Haiti
HM	HMD	334	Heard Island and McDonald Islands
VA	VAT	336	Holy See
HN	HND	340	Honduras
HK	HKG	344	Hong Kong
HU	HUN	348	Hungary
IS	ISL	352	Iceland
IN	IND	356	India
ID	IDN	360	Indonesia
IR	IRN	364	Iran
IQ	IRQ	368	Iraq
IE	IRL	372	Ireland
IM	IMN	833	Isle of Man
IL	ISR	376	Israel
IT	ITA	380	Italy
CI	CIV	384	Ivory Coast
JM	JAM	388	Jamaica
JP	JPN	392	Japan
JE	JEY	832	Jersey
JT	JTN	396	Johnston Atoll



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JO	JOR	400	Jordan
KH	KHM	116	Kampuchea
KZ	KAZ	398	Kazakhstan
KE	KEN	404	Kenya
KI	KIR	296	Kiribati
KP	PRK	408	Korea North
KR	KOR	410	Korea South
KW	KWT	414	Kuwait
KG	KGZ	417	Kyrgyzstan
LA	LAO	418	Laos
LV	LVA	428	Latvia
LB	LBN	422	Lebanon
LS	LSO	426	Lesotho
LR	LBR	430	Liberia
LY	LBY	434	Libya
LI	LIE	438	Liechtenstein
LT	LTU	440	Lithuania
LU	LUX	442	Luxembourg
MO	MAC	446	Macao
MK	MKD	807	Macedonia
MG	MDG	450	Madagascar
MW	MWI	454	Malawi
MY	MYS	458	Malaysia
MV	MDV	462	Maldives
ML	MLI	466	Mali
MT	MLT	470	Malta
MH	MHL	584	Marshall Islands
MQ	MTQ	474	Martinique
MR	MRT	478	Mauritania
MU	MUS	480	Mauritius
YT	MYT	175	Mayotte
MX	MEX	484	Mexico
FM	FSM	583	Micronesia
MI	MID	488	Midway Islands
MD	MDA	498	Moldova
MC	MCO	492	Monaco
MN	MNG	496	Mongolia
ME	MNE	499	Montenegro
MS	MSR	500	Montserrat
MA	MAR	504	Morocco
MZ	MOZ	508	Mozambique
MM	MMR	104	Myanmar
NA	NAM	516	Namibia
NR	NRU	520	Nauru



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NP	NPL	524	Nepal
NL	NLD	528	Netherlands
AN	ANT	530	Netherlands Antilles
AN	ANT	532	Netherlands Antilles
NC	NCL	540	New Caledonia
NH	NHB	548	New Hebrides
NZ	NZL	554	New Zealand
NI	NIC	558	Nicaragua
NE	NER	562	Niger
NG	NGA	566	Nigeria
NU	NIU	570	Niue
NF	NFK	574	Norfolk Island
MP	MNP	580	Northern Mariana Islands
NO	NOR	578	Norway
OM	OMN	512	Oman
PK	PAK	586	Pakistan
PW	PLW	585	Palau
PS	PSE	275	Palestine
PA	PAN	591	Panama
PZ	PCZ	???	Panama Canal Zone
PG	PNG	598	Papua New Guinea
PY	PRY	600	Paraguay
PE	PER	604	Peru
PH	PHL	608	Philippines
PN	PCN	612	Pitcairn
PL	POL	616	Poland
PT	PRT	620	Portugal
PR	PRI	630	Puerto Rico
QA	QAT	634	Qatar
RE	REU	638	Reunion
RO	ROU	642	Romania
RU	RUS	643	Russia
RW	RWA	646	Rwanda
SH	SHN	654	Saint Helena
KN	KNA	659	Saint Kitts and Nevis
KN	KNA	658	Saint Kitts-Nevis-Anguilla
LC	LCA	662	Saint Lucia
PM	SPM	666	Saint Pierre and Miquelon
VC	VCT	670	Saint Vincent and the Grenadines
WS	WSM	882	Samoa
SM	SMR	674	San Marino
ST	STP	678	Sao Tome and Principe
SA	SAU	682	Saudi Arabia
SN	SEN	686	Senegal



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RS	SRB	688	Serbia
CS	SCG	891	Serbia and Montenegro
SC	SYC	690	Seychelles
SL	SLE	694	Sierra Leone
SK	SKM	???	Sikkim
SG	SGP	702	Singapore
SK	SVK	703	Slovakia
SI	SVN	705	Slovenia
SB	SLB	090	Solomon Islands
SO	SOM	706	Somalia
ZA	ZAF	710	South Africa
GS	SGS	239	South Georgia
VD	VDR	???	South Vietnam
RH	RHO	'716	Southern Rhodesia
ES	ESP	724	Spain
EH	ESH	732	Spanish Sahara
LK	LKA	144	Sri Lanka
SD	SDN	736	Sudan
SR	SUR	740	Suriname
SJ	SJM	744	Svalbard and Jan Mayen
SZ	SWZ	748	Swaziland
SE	SWE	752	Sweden
CH	CHE	756	Switzerland
SY	SYR	760	Syria
TW	TWN	158	Taiwan
TJ	TJK	762	Tajikistan
TZ	TZA	834	Tanzania
TH	THA	764	Thailand
TL	TLS	626	Timor-Leste
TG	TGO	768	Togo
TK	TKL	772	Tokelau
TO	TON	776	Tonga
TT	TTO	780	Trinidad and Tobago
PC	PCI	582	Trust Territory of the Pacific Islands
TN	TUN	788	Tunisia
TR	TUR	792	Turkey
TM	TKM	795	Turkmenistan
TC	TCA	796	Turks and Caicos Islands
TV	TUV	798	Tuvalu
UG	UGA	800	Uganda
UA	UKR	804	Ukraine
UA	UKR	804	Ukrainian SSR
SU	SUN	810	Union of Soviet Socialist Republics
AE	ARE	784	United Arab Emirates



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GB	GBR	826	United Kingdom
US	USA	840	United States
UM	UMI	581	United States Minor Outlying Islands
PU	PUS	849	United States Miscellaneous Pacific Islands
HV	HVO	854	Upper Volta
UY	URY	858	Uruguay
UZ	UZB	860	Uzbekistan
VU	VUT	548	Vanuatu
VA	VAT	336	Vatican City State
VE	VEN	862	Venezuela
VN	VNM	704	Vietnam
VG	VGB	092	Virgin Islands British
VI	VIR	850	Virgin Islands U.S
WK	WAK	872	Wake Island
WF	WLF	876	Wallis and Futuna
EH	ESH	732	Western Sahara
YE	YEM	887	Yemen
YE	YEM	886	Yemen
YU	YUG	891	Yugoslavia
ZR	ZAR	180	Zaire
ZM	ZMB	894	Zambia
ZW	ZWE	716	Zimbabwe



Appendix H – XML Batch File Example

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<RegistrationFile xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:noNamespaceSchemaLocation="file:///lrb.xsd">
  <Header>
    <FileVersion>3A</FileVersion>
    <FileName>ULN Check November</FileName>
    <UKPRN>90000061</UKPRN>
    <LearnerRecordCount>1</LearnerRecordCount>
  </Header>
  <Learner>
    <ULN>3344557288</ULN>
    <MISIdentifier></MISIdentifier>
    <Title>Mr</Title>
    <GivenName>Morris</GivenName>
    <PreferredGivenName></PreferredGivenName>
    <MiddleNames>John</MiddleNames>
    <FamilyName>Manson</FamilyName>
    <PreviousFamilyName>previous</PreviousFamilyName>
    <UniqueCandidateIdentifier>99999999999A</UniqueCandidateIdentifier>
    <UniquePupilNumber>A99999999999</UniquePupilNumber>
    <FamilyNameAt16>familyAt</FamilyNameAt16>
    <SchoolAtAge16>School</SchoolAtAge16>
    <LastKnownAddressLine1>Address1</LastKnownAddressLine1>
    <LastKnownAddressLine2>Address2</LastKnownAddressLine2>
    <LastKnownAddressTown>Address3</LastKnownAddressTown>
    <LastKnownAddressCountyorCity>Coventry</LastKnownAddressCountyorCity>
    <LastKnownPostCode>CV12TT</LastKnownPostCode>
    <DateOfAddressCapture>2008-08-08</DateOfAddressCapture>
    <DateOfBirth>1990-01-01</DateOfBirth>
    <PlaceOfBirth>Birmingham</PlaceOfBirth>
    <EmailAddress>testemail@hotmail.com</EmailAddress>
    <Gender>1</Gender>
    <Nationality>GB</Nationality>
    <ScottishCandidateNumber></ScottishCandidateNumber>
    <PrivacyNoticeSeen>1</PrivacyNoticeSeen>
    <VerificationType>2</VerificationType>
    <OtherVerificationDescription></OtherVerificationDescription>
    <Notes></Notes>
  </Learner>
</RegistrationFile>
```

Header

Learner



Appendix I – CTF ULN Batch File Example

```
<?xml version="1.0" encoding="UTF-8"?>
<CTFfile xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
  <Header>
    <DocumentName>Common Transfer File</DocumentName>
    <CTFversion>18.0</CTFversion>
    <DateTime>2017-03-23T11:55:27</DateTime>
    <DocumentQualifier>partial</DocumentQualifier>
    <SupplierID>DfE Sample</SupplierID>
    <SourceSchool>
      <LEA>330</LEA>
      <Estab>6910</Estab>
      <URN>123456</URN>
      <SchoolName>Test school</SchoolName>
      <AcademicYear>2018</AcademicYear>
    </SourceSchool>
    <DestSchool>
      <LEA>XXX</LEA>
      <Estab>XXXX</Estab>
    </DestSchool>
    <SupplInfo>
      <SupplID>DfE Sample</SupplID>
      <annotation>
        <Product>DfE Sample File</Product>
        <Version>18.0</Version>
        <BuildDate>2017-08-24</BuildDate>
      </annotation>
    </SupplInfo>
  </Header>
  <CTFpupilData>
    <Pupil>
      <UPN>X99999999999</UPN>
      <Surname>Smith</Surname>
      <Forename>Helen</Forename>
      <DOB>1999-10-01</DOB>
    </Pupil>
  </CTFpupilData>
</CTFfile>
```



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```
<Gender>F</Gender>
<BasicDetails>
  <PreferredSurname>Smith</PreferredSurname>
  <PreferredForename>Helen</PreferredForename>
  <MiddleNames>Grey</MiddleNames>
  <NCyearActual>9</NCyearActual>
  <Ethnicity>BAFR</Ethnicity>
  <EthnicitySource>C</EthnicitySource>
  <Languages>
    <Type>
      <LanguageType>F</LanguageType>
      <Language>SOM</Language>
    </Type>
  </Languages>
  <MedicalFlag>true</MedicalFlag>
  <EnrolStatus>C</EnrolStatus>
</BasicDetails>
<Address>
  <AddressLines>
    <AddressLine1>2 High Stree</AddressLine1>
    <AddressLine2>Highway 22</AddressLine2>
    <AddressLine3>Village Name</AddressLine3>
    <AddressLine4>Town or City</AddressLine4>
  </AddressLines>
  <PostCode>M33 7HG</PostCode>
</Address>
</Pupil>
</CTFpupilData>
</CTfile>
```



Appendix J – Return Codes

Where a ULN is created or found, one the below return codes is applied. Return codes RC005 – RC013 are exceptions and require corrective work to identify or create a ULN. Guidance on resolving exceptions can be found in the [Managing exceptions user guide](#).

RC001 Linked Master ULN

Full Submission (FUL)

When <ULNIdentifying fields> or <DemographicIdentifying fields> identify exactly one learner, but that learner has a Master ULN associated with it.

Verification Only (CHK)

As above.

Notes

Returned ULN and all other details are those of the "Master" Learner. No update to the record held in the LRS Organisation Portal takes place. If the LRB wishes to perform updates to this Learner, they must resubmit the details using the Master ULN.

RC002 ULN Confirmed and Updated

Full Submission (FUL)

When <ULNIdentifying fields> identify exactly one learner and the incoming record has updated information on the identified learner. Please note:

- Regardless of whether Verification Type is supplied, all the non-demographic fields (excluding Verification Type and Verification Other Description) can be updated. **NOTE:** If the learner has previously set the Ability to Share themselves, Ability To Share will not be updated.
- If the supplied Verification Type is anything other than None Provided, any of the five demographic fields (Given Name, Family Name, Postcode, Date of Birth and Gender) may be updated. The updated learner details must not represent a potential duplicate of another learner already held in the LRS Organisation Portal.
- The Nationality code can be supplied in any of three formats but the Learning Records Service will return them in a 3 Alpha character format only.
- Updates to any of the address fields held by the LRS Organisation Portal will only occur when:
 - a Postcode is supplied which is different to that held in the LRS Organisation Portal or the Postcode supplied is the same as that held in the LRS Organisation Portal and



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- at least one of the four address line fields supplied is not blank. In either case the LRS Organisation Portal held Postcode and 4 address line fields are all set to the supplied values.

The Address fields in full are:

- Last Known Address Line 1
- Last Known Address Line 2
- Last Known Address Town
- Last Known Address County or City
- Last Known Address Postcode

When the address is updated, the 'Date of Address Capture' field will be updated with the value supplied in the batch file (if this is not supplied then the current system date will be used to populate this field).

- The 'Verification Type' and 'Verification Other Description' fields will be updated if supplied in the batch file, even where values are already held by the LRS Organisation Portal. These two fields will be updated as a group rather than individually (if either of the fields is updated, then the other will also be updated at the same time).

The following validation rules apply to these two fields:

- Verification Type must be one of the values recognized by the system.
- If Verification Type is Other, Other Verification Description must be populated.
- If Verification Type is not Other, Other Verification Description must be blank.

RC003 ULN Confirmed

Full Submission (FUL)

When <ULNIdentifying fields> or <DemographicIdentifying fields> identify exactly one learner and the incoming record does not have any more information than that of the identified learner.

- Updates to any of the address fields held by the LRS Organisation Portal may occur when:
 - a Postcode is supplied which is different to that held in the LRS Organisation Portal or the Postcode supplied is the same as that held in the LRS Organisation Portal;
 - and at least one of the four address line fields supplied is not blank. In either case the LRS Organisation Portal held Postcode and 4 address line fields are all set to the supplied values.

The Address fields in full are:

- Last Known Address Line 1
- Last Known Address Line 2
- Last Known Address Town
- Last Known Address County or City



- Last Known Address Postcode

When the address is updated, the 'Date of Address Capture' field will be updated with the value supplied in the batch file (if this is not supplied then the current system date will be used to populate this field).

Verification Only (CHK)

When <ULNIdentifying fields> or <DemographicIdentifying fields> identify exactly one learner and even if the incoming record has more information than that of the identified learner, the learner is not updated.

RC004 No Match – New ULN Created

Full Submission (FUL)

<DemographicIdentifying fields> identify no learners.

Notes

New ULN Register record is created if there is minimum required information available to create.