



Education & Skills
Funding Agency

Provider Data Self- Assessment Toolkit (PDSAT)

**Reviewing PDSAT reports for the 2020 to
2021 funding year: User guide**

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Contents

Introduction	7
Downloading PDSAT	7
COVID-19	7
PDSAT developments	8
Using Excel	8
Individualised Learner Record (ILR)	9
Filtering and sampling from PDSAT report output	10
Report filters	10
Sampling	12
Other features in PDSAT	13
Key messages	15
Importing ILR data	15
Apprenticeships (from 1 May 2017)	15
Funding rules monitoring	16
Report groupings	16
Cross-ILR reporting	17
Report layout	17
Funding lines	18
Report selection	18
Sample testing	18
Recording review outcomes	19
Post-ILR closure	19
Terminology	19
Documentation references	20
Review notes: Both adult and young people (“B”) reports	21
21B-001: Report logic by report	21
21B-002: Possible duplicate learners	21
21B-003: Possible duplicate or overlapping programmes and regulated learning aims	23
21B-004: Possible duplicate or overlapping non-regulated learning aims	23
21B-005: Transferring learners	24

21B-006: Learners enrolled concurrently on multiple English and/or maths learning aims	24
21B-007: Learners progressing to apprenticeships from 16 to 19 study programmes	25
Review notes: Adult/apprenticeship (“A”) reports	26
21A-101: All adult skills funding model learners and learning aims	26
21A-102: All carry-in apprenticeship standards learners and learning aims	27
21A-103: All learners and learning aims within the new apprenticeship programme	27
21A-104: All Advanced Learner Loan and Loans Bursary Fund learners	29
21A-105: Learners enrolled on English and/or maths learning aims	29
21A-106: Learning support funding	30
21A-107: Learning aims by delivery postcode	30
21A-108: Funding by subcontractor	31
21A-201: 19+ apprentices with full funding claimed	31
21A-202: 19+ apprentices with enhanced or extended funding	33
21A-203: Apprenticeship frameworks minimum duration exceptions	37
21A-204: Apprenticeship standards minimum duration exceptions	39
21A-205: Apprentices and trainees with co-funding	42
21A-206: Employment status exceptions	42
21A-207: Apprentices undertaking level 1 or below in English and/or maths within an apprenticeship	44
21A-208: Higher level apprentices undertaking English and/or maths at level 2	46
21A-209: English and/or maths in an apprenticeship having already achieved level 1 or above	46
21A-210: Negotiated prices as a proportion of funding band maxima	47
21A-211: Negotiated prices and actual cost	48
21A-212: Apprenticeship planned durations	48
21A-213: Apprentices withdrawing from the programme soon after attracting an additional payment	49
21A-214: Recording co-investment payments	49
21A-215: Apprenticeship standards with no end-point assessment organisation	50
21A-216: Planned off-the-job training hours	51
21A-217: Actual off-the-job training hours compared to those planned	52
21A-218: Apprenticeship completions	52

21A-301: Traineeships with incorrect or no work placement aims	53
21A-302: Traineeships with no work preparation aims	54
21A-303: Traineeship enrolments where previous learning indicates unsuitability or ineligibility	55
21A-304: Traineeships with flexible elements but no core aims	56
21A-401: Job outcomes	57
21A-402: Enrolments on level 2 entitlement aims after achieving a full level 2 or higher	58
21A-403: Enrolments on level 3 entitlement aims after achieving a full level 3 or higher	58
21A-404: Enrolments on level 2 learning aims that are not part of the legal entitlement	59
21A-405: Co-funded learners undertaking level 3 qualifications	59
21A-406: Learners with prior attainment below level 3 funded by an Advanced Learner Loan	60
21A-501: Learners repeating learning aims or programmes that they have already achieved	61
21A-502: Learning aims with planned duration of one day	62
21A-503: Learning aims with actual duration of one day	62
21A-504: Learners in learning beyond their learning planned end date	63
21A-505: Withdrawals and qualifying days for funding	65
21A-506: Learning actual end dates	66
21A-507: Learners resuming regulated learning aims	67
21A-508: Learners resuming non-regulated learning aims	67
21A-509: Breaks in learning where learning is not re-planned on return	68
21A-510: Long breaks in learning with no resumption	69
21A-511: Early completions	69
21A-512: Completions without a full achievement	70
21A-513: Retention	71
21A-514: Learners with prior attainment level recorded as not known	72
21A-515: Learning aims where the annual funding cap has been applied	72
21A-516: Generic postcodes	73
21A-517: NI Numbers null, temporary or used for HMRC administrative purposes	74

21A-518: European Social Fund data for directly funded and match funding provision	74
21A-519: Non-English postcodes	75
21A-520: All OfS funded learners	77
Review notes: 16 to 19 ('Y') reports	78
21Y-101: All 16 to 19 funding model learners and learning aims	78
21Y-102: All learners and learning aims within the T Level programme	80
21Y-104: Core aims	80
21Y-105: Learning aims by delivery postcode	81
21Y-106: Funding by subcontractor	81
21Y-107: All work placements	82
21Y-108: Summer term starts	83
21Y-109: Advanced maths premium	84
21Y-201: Full-time learners on short study programmes	84
21Y-202: Learners with high weekly study hours	85
21Y-203: Learners with high planned hours in-year	86
21Y-204: Learners with qualification hours for non-qualification programmes	86
21Y-205: Funded hours thresholds	87
21Y-206: Learners on study programmes of no more than four weeks' duration	87
21Y-207: Withdrawals and qualifying days for funding	88
21Y-208: Withdrawals and qualifying days for Condition of Funding	89
21Y-209: Completions, withdrawals or transfers within first six weeks	89
21Y-210: Withdrawals and planned hours for learners continuing from a previous year	90
21Y-211: Learning aims delivered in one day	91
21Y-212: Learner numbers by funding band and by planned duration in weeks	92
21Y-213: Learners in learning beyond their learning planned end date	93
21Y-214: Early completions	93
21Y-215: Completions without a full achievement	94
21Y-216: Traineeships with incorrect or no work placement aims	95
21Y-217: Traineeship enrolments where previous learning indicates unsuitability or ineligibility	95
21Y-301: Learners under 16	97

21Y-302: Learner difficulty/disability inconsistency	97
21Y-303: Non-English postcodes	98
21Y-304: Generic postcodes	98
21Y-305: All OfS funded learners	99
Review notes: Cross-ILR ('X') reports	100
21X-001: Funding reconciliation	100
21X-002: Changes to data and funding between ILRs	101
21X-003: Continuance between ILRs	102
21X-004: Changes to learning planned end dates between funding years	104
21X-005: Changes to learning actual end dates between funding years	104
21X-006: Continuing learners that do not appear in the following year's ILR	105
21X-007: Transfers from learning aims where there is no subsequent transferred on learning aim	106
21X-008: Changes to funding model between years	106
21X-009: Reopened aims after a break in learning	107
21X-010: Learning actual end dates that relate to prior funding years but returned in subsequent years' ILRs	108
21X-011: Study programme end dates that relate to prior funding years but returned in subsequent years' ILRs	108
21X-012: Learners that withdraw from 16 to 19 learning aims with no adjustment to planned hours	109
21X-013: Achievements and completions in prior funding years amended in subsequent years' ILRs	109
Learner viewer: Funding breakdown	110
Changes to PDSAT from 2019 to 2020	111
Document history	112

Introduction

The Provider Data Self-Assessment Toolkit (PDSAT) produces a series of reports to test the integrity of Individualised Learner Record (ILR) data. It enables users to identify potential issues with the data recorded in ILR data returns. PDSAT provides indicative reports based on areas of concern and risk, rather than definitive results. These reports may contain potential data anomalies that require further investigation for clarification and rectification. Such investigation requires careful review of the data contained within the reports.

The purpose of this guide is to assist users – colleges, independent training providers, employer-providers, accountancy firms, other organisations and Education and Skills Funding Agency (ESFA) staff – in performing detailed data reviews of the suite of PDSAT reports used to facilitate accurate ILR data. It will assist providers in carrying out their routine data cleansing and submitting accurate ILR data returns to the ESFA. Therefore, we encourage providers to use PDSAT regularly to check their ILR data and, thus, minimise the risk of overclaiming funds from the ESFA and subsequent repayment of funds. This guide is also used by the ESFA and accountancy firms in delivering funding audits.

This guide lists the PDSAT reports together with a description of each report's purpose and techniques for the review of each report. It is not an exhaustive list of techniques and reviewers may wish to carry out their own additional checks, whilst being mindful of the purpose of each report.

This guide relates to PDSAT reports output from ILR data for the funding year from 1 August 2020 to 31 July 2021, referred to in this guide as "2020/21".

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

Downloading PDSAT

You can download the PDSAT software using the link on [GOV.UK](https://www.gov.uk).

COVID-19

As a result of the impact of the COVID-19 coronavirus pandemic, the ESFA has applied flexibilities to, and amended its funding rules for, various aspects of its funded provision.

Where applicable, we have adapted PDSAT reports accordingly. We describe any such changes to PDSAT reports in the notes below.

PDSAT developments

From 1 August 2019, the devolution of adult education funding to specified combined authorities and the Mayor of London (collectively referred to as “devolved authorities”) applies. Last year, we introduced filters in PDSAT that enabled users to restrict the data output to PDSAT reports to specified devolved authorities.

We have developed the report filters further in this year’s PDSAT, enabling users to apply specific criteria to a variety of ILR fields and restrict the data output accordingly (see the [Filtering and sampling from PDSAT report output](#) section for more information).

We have produced this guide for the purpose of reviewing data relating to ESFA funded provision. Devolved authorities’ funding rules follow the same general principles. Therefore, you can broadly follow this guide when reviewing data relating to devolved authority funded provision. However, be mindful that the devolved authorities’ funding rules may diverge in specific instances. You should check them before arriving at any conclusions on potential or actual data and/or funding errors.

Using Excel

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

Excel settings

Most PDSAT reports display a learner count above the detailed report output. When a user filters a report, the learner count updates to show only the count of those learners visible in the filtered data.

To ensure that the learner count works as intended, users must ensure that their Excel settings are appropriately configured. To do this, open Excel and perform the following steps:

- Click *File* and select *Options*.
- Click *Trust Center* and *Trust Center Settings...* (sic).
- Click *Macro Settings*.
- Under the *Developer Macro Settings* heading, ensure that the *Trust access to the VBA project object model* check box is ticked.
- Click *OK* and *OK*.

Individualised Learner Record (ILR)

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

For a full description of each ILR field, values and guidance, refer to the [Specification of the Individualised Learner Record for 2020 to 2021](#).

Filtering and sampling from PDSAT report output

We have enhanced the report filter facility in PDSAT so that users can export reports that contain records that satisfy user-defined criteria for a range of ILR fields. Previously, filtering was available only for *Source of funding* and *Subcontracted or partner UKPRN*.

In addition, it is now possible for PDSAT to select samples from most PDSAT reports (not including cross-ILR reports), including from reports filtered using the facility above.

The enhanced features are targeted primarily, but not exclusively, at auditors for use in identifying populations and selecting samples for specific ring-fenced testing. You can find further information below.

Report filters

PDSAT now contains an enhanced report filter facility. Users can apply their own criteria to up to 18 ILR fields, enabling them to restrict report queries and output to learners that satisfy specific criteria.

Below are examples of how you can use these filters. There are many more ways in which you can filter the data, and the *Report filter* window assists by listing not only the values available for each field but, in most cases, the description associated with each value.

Subcontracted or partner UKPRN

You can set PDSAT to output only those reports that contain records relating to specific subcontractors by preselecting the partner UKPRN value(s) for which you want to run PDSAT reports. For the purposes of sharing PDSAT reports with any subcontractors, you must ensure that you filter using only the value in the *Subcontracted or partner UKPRN* field that relates to the respective subcontractor. By hovering over the values in the PDSAT filter, you can see which values relate to which subcontractors.

Source of funding

You can restrict the records that PDSAT outputs according to the source of funding (based on the value in the *Source of funding* field in the ILR). These sources include each of the devolved authorities as well as the ESFA (including, for a small number of reports, provision funded by Advanced Learner Loans or by the Office for Students). Use the filter to select one or more devolved authorities, or provision funded from all other sources. For the purposes of sharing PDSAT report output with any of the devolved authorities, you must ensure that you filter using only the value in the *Source of funding* field that relates to the respective devolved authority. By hovering over the values in the PDSAT filter, you can see which values relate to which devolved authorities.

Apprenticeships

Depending on to which apprenticeships you wish to restrict PDSAT output, you will need to apply criteria to *Funding model* and/or *Programme type*.

For apprenticeship frameworks, apply the criteria:

- *Programme type* In (2, 3, 20, 21, 22, 23); and either
- *Funding model* = 35 (for starts prior to 1 May 2017); or
- *Funding model* = 36 (for starts on or after 1 May 2017).

For apprenticeship standards, apply the criteria:

- *Programme type* = 25; and either
- *Funding model* = 81 (for starts prior to 1 May 2017); or
- *Funding model* = 36 (for starts on or after 1 May 2017).

If you wish to restrict queries and output to programme aims only, apply the criterion:

- *Aim type* = 1.

There will be instances where you wish to apply criteria to apprenticeship programme aims only, but, for completeness, you would like to see all the component aims in the output. If so, in the *Report filters* window, simply move the *Component aim* slider to On.

Traineeships

For traineeships, apply the criterion

- *Programme type* = 24.

Adult education budget

For the adult education budget, apply the criteria

- *Programme type* Is Null; and
- *Funding model* = 35.

In addition, there are various initiatives within the adult education budget that you can identify using additional criteria, such as those listed below.

For sector-based work academies, apply the criterion:

- *LDM* = 375 (note that this value may appear more than once in the list of possible values)

For high value courses for 18- and 19-year-old school and college leavers, apply the criterion:

- $LDM = 376$ (note that this value may appear more than once in the list of possible values)

For the level 3 adult offer, apply the criterion:

- $LDM = 378$ (note that this value may appear more than once in the list of possible values)

Sampling

You can select samples from most PDSAT report output (excludes reports that contain summary data and cross-ILR reports). This can be of use to auditors in performing random checks of PDSAT report output.

To output a sample of records for any PDSAT report, in the *Reports* tab, select the report by ticking the *check box*. This enables the *Sample Count*, in which you will see a *hyphen* appear. Click on the *hyphen* and overwrite with the sample size that you would like PDSAT to select and output. Once you have made all of your selections, run your reports.

If you are seeking to perform testing of a specific population, such as those described the [Report filters](#) section above:

- Apply the filters required to identify your population.
- Select and run the respective listing report that contains data relevant to your filter selection. This will normally be a report number commencing 21A-1 or 21Y-1. This will provide your population, including the population value.
- Select the same report again. Enter your sample size in the *Sample Count* and run the report. This will provide your sample, including the sample value.

Other features in PDSAT

PDSAT also contains the following features.

Funding period selection

The funding displayed in PDSAT report output is year-to-date total of monthly transactions, up to the funding period selected (1, 2,...,11, 12 relating to August, September,...,June, July respectively). For assurance review purposes, you should ensure that the funding period selected is the latest completed period at the point of running reports. The funding period selection does not affect the funding displayed in 16 to 19 report output.

You can access this feature in the *Reports* and *Sampler* tabs within PDSAT.

Sampling by subcontractor/partner UKPRN

You can set PDSAT to produce a set of audit working papers relating to specific subcontractors by preselecting the partner UKPRN value(s) for which you want to run PDSAT reports. By hovering over the values in the PDSAT filter, you can see which values relate to which subcontractors.

You can access this feature in the *Sampler* tab within PDSAT.

Sampling by source of funding

You can set PDSAT to produce a set of audit working papers relating to provision funded by a specific devolved authority. Use the filter to select one of the devolved authorities (select provision funded from all other sources for ESFA funded provision). By hovering over the values in the PDSAT filter, you can see which values relate to which devolved authorities.

You can access this feature in the *Sampler* tab within PDSAT.

Zero record reports

You can set PDSAT to output only those reports that contain any records, reducing the number of reports output and, therefore, the size of the output file.

You can access this feature in the *Settings* tab within PDSAT.

Reduced field output

The full PDSAT report output contains a significant number of ILR fields and derived variables. Whilst all of this information is useful, it may not be necessary to have all of this information, depending on the reason for running reports. PDSAT contains the facility to run reports containing fewer output fields, reducing processing time and the size of the output file.

You can access this feature in the *Settings* tab within PDSAT.

Log file

PDSAT now maintains a log file of all actions that PDSAT performs. Should you encounter any problems with PDSAT that require assistance from the PDSAT helpdesk, you can supply the log file to the helpdesk, allowing it to identify and fix the cause of the problem much more easily.

You can access this feature in the *Settings* tab within PDSAT.

Key messages

Importing ILR data

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

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

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

Apprenticeships (from 1 May 2017)

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

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

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

Funding rules monitoring

Part of the ESFA assurance framework involves monitoring providers' ILR data. The ESFA's [Financial Assurance: Monitoring the funding rules for post-16 funding for 2020 to 2021](#) publication lists the areas that it is monitoring during 2020/21.

The ESFA has removed some areas that appeared in the monitoring plan for the 2019 to 2020 funding year, replacing them either with ILR reports that are available on the submit learner data (SLD) portal or with ILR validation rules that prevent such data issues from being returned.

Providers must review their own data in the monitored areas. As well as using their own management information systems (MIS) and the funding rules monitoring (FRM) reports available on SLD, providers can make use of the wide range of reports in PDSAT.

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

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

Report groupings

We have grouped the PDSAT reports according to the funding models relevant to the report output, using the following prefixes.

Adult and apprenticeship reports (21A- prefix)

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

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

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

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

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

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

Young people (16 to 19 (excluding Apprenticeships)) reports (21Y- prefix)

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

Both adult and young people reports (21B- prefix)

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

Cross-ILR reporting

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

Cross-ILR functionality within PDSAT seeks to match learning aim records across two ILRs using 27 layers of matching criteria, in order to maximise the number of true matches. Once PDSAT has matched records, it identifies data changes between specific fields in the report output. Due to the wide range of matching criteria, it could be that two learning aim records matched by PDSAT may not necessarily be a true match.

You can run cross-ILR reports using two ILRs for the same provider or for two different providers and for the same funding year or two different funding years. The availability of reports depends upon these combinations of ILRs. In certain circumstances, reports are not available. For example, there is no logic in reconciling funding across funding years or between two providers.

Cross-ILR reports have the prefix 21X- and, due to the size of the report output, some reports are output to a separate Excel workbook.

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

Report layout

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

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

Funding lines

Since providers submit a single ILR, funding lines that are both in scope and outside the scope of an assurance review can appear within the data returns. When reviewing PDSAT reports as part of an assurance review, you can normally start each report by filtering out all records that relate to funding lines outside the scope of the assurance review. There will be exceptions where you need to see all records irrespective of funding line, for example, reports with the 21B- prefix.

Report selection

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

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

Sample testing

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

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

Recording review outcomes

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

Post-ILR closure

There may be instances where review of PDSAT reports takes place after the ILR has closed for the funding year in question. In such cases, it will not be possible for providers to correct the closed ILR where the review identifies data errors. However, the provider must correct the current year ILR where applicable. There may also be a requirement for recovery of funding relating to prior year funding errors arising from the data errors identified.

Terminology

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

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

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

Documentation references

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

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

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

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

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

Review notes: Both adult and young people (“B”) reports

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

21B-001: Report logic by report

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

This is a simple report listing and requires no review.

[Back to contents page](#)

21B-002: Possible duplicate learners

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

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

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

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

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

Type 2 (and possibly types 4 and 6) could include twins as possible duplicates, as the matching values are likely to be the same in this instance.

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

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

This report could identify learners for which the provider has allocated two or more learner reference numbers. Learners must retain the same learner reference number for any period of learning and the provider should avoid changes to the learner reference number between years for continuing learners. If it had to unavoidably allocate different learner reference numbers to the same learner (for example, due to a change in MIS), it may be that the provider has, or should have, recorded the value used in the previous year in the ILR field *Learner reference number in previous year*. You should check why the provider used different learner reference numbers and instruct the provider to use the *Learner reference number in previous year* field if applicable¹.

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

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

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

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

¹ See the *Specification of the Individualised Learner Record for 2020 to 2021* for details of the *Learner reference number in previous year* ILR field.

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

[Back to contents page](#)

21B-003: Possible duplicate or overlapping programmes and regulated learning aims

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

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

[Back to contents page](#)

21B-004: Possible duplicate or overlapping non-regulated learning aims

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

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

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

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

21B-005: Transferring learners

Lists learners and learning aims recorded as ‘transferred off’ where there is no corresponding ‘transferred on’ learning aim within any funding model starting within a calendar month. This could aid the identification of inappropriate data management. The report lists all learning aims subsequently starting after a calendar month where they exist.

Completion status = 3 and Withdrawal reason = 40 means that the learner has withdrawn from the learning aim and at the same time has transferred to a new learning aim. The learning start date of the new learning aim may be slightly later than the learning actual end date of the ‘transferred off’ learning aim². For the purposes of this report, we have used a calendar month as a reasonable period within which a new learning aim can be expected to have commenced.

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

21B-006: Learners enrolled concurrently on multiple English and/or maths learning aims

Identifies (and lists respective learning aims for) learners that are enrolled on multiple English learning aims and/or maths learning aims, up to and including level 2, at the same time.

Learners should not normally be enrolled on multiple English learning aims at the same time, and similarly for maths learning aims.

Once a learner has been assessed and enrolled on the appropriate level of English and/or maths, they should complete that level before progressing to the next. If the learner is found to be enrolled on a learning aim at the wrong level, they should be transferred to the correct learning aim.

² Section 5, Recording breaks in learning, transfers and restarts, *Provider Support Manual for 2020 to 2021*.

Providers will need to apply the appropriate corrective action to learners appearing on this report to remove any such concurrent learning, unless, in exceptional circumstances, it can offer a valid explanation.

[Back to contents page](#)

21B-007: Learners progressing to apprenticeships from 16 to 19 study programmes

Identifies learners that progress from a funded 16 to 19 study programme to an apprenticeship programme prior to the planned end date of their study programme.

Providers must ensure that they do not draw down two sources of ESFA funding for the same period of time when a learner progresses from a 16 to 19 study programme to an apprenticeship programme. In such instances, the provider can either reduce the study programme's planned hours to the learner's period of actual attendance or reduce the apprenticeship funding to remove any overlap over the period where it claimed two sources of funding³.

For any learners appearing on this report, check whether the provider has accurately reduced either of the values described above. Any instances where it has not are errors and it will need to correct these accordingly.

[Back to contents page](#)

³ Annex C, paragraph 13 (Q15) of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

Review notes: Adult/apprenticeship (“A”) reports

These reports predominantly contain records relating to learners and learning aims within funding models 35, 36 and 81. You must output these for assurance reviews of apprenticeships, adult education budget and loans funded provision. In the notes below, we have labelled reports to show the respective funding model(s) reported.

21A-101: All adult skills funding model learners and learning aims

Funding model: 35

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

This is a complete listing of all learners and learning aims within the adult skills funding model (FM35). This report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

There are bespoke checks that providers can carry out using this report as part of their routine data cleansing. For example, referring to the rules on financial contributions, they can check whether they are claiming the correct funding level⁴ for different groups of learners by applying filters appropriately to relevant fields such as *Full or co-funding indicator*, *Benefit status indicator*, *Employment status on first day of learning* and the learning delivery FAM type *LDM (Learning delivery monitoring)*.

With respect to *LDM*, check for records containing the value 363, relating to learners in receipt of low wages⁵, for learning aims up to and including level 2. Since providers can claim full funding for such learners, ensure that the learning delivery FAM type *FFI (Full or co-funding indicator)* is set to the code value 1, otherwise there will be an under-claim of funding.

[Back to contents page](#)

⁴ Government contribution table, page 36, *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁵ Paragraphs 161 to 163 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

21A-102: All carry-in apprenticeship standards learners and learning aims

Funding model: 81

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

This is a complete listing of all learners enrolled on apprenticeship standards programmes within FM81 and their component learning aims. This report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

[Back to contents page](#)

21A-103: All learners and learning aims within the new apprenticeship programme

Funding model: 36

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

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

There are bespoke checks that providers can carry out using this report as part of their routine data cleansing. For example, providers can filter this report on *Small employer* = 1 to identify all learners with employers that it has flagged as small employers. The provider can then ensure that it holds evidence to confirm that the employer meets the criteria for a small employer, according to the funding rules⁶.

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

- The provider must identify these records as apprenticeship provision delivered to its own employees by recording the value 356 in the learning delivery FAM type

⁶ Paragraphs P136, P137, EP163, E157 and E158 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

LDM (Learning delivery monitoring). Check whether this is the case and instruct the provider to update the ILR as necessary.

- Since, for these learners, the provider is an employer-provider, there must be no profit element included in the *Total negotiated price* and this value must reflect only the actual cost. Use this report in conjunction with PDSAT report 21A-211 (Negotiated prices and actual cost) to identify learners where there is no price differential between the provider's own employees and other learners. Check the prices that the provider is charging other employers for delivering the same apprenticeship frameworks and standards. You should find that these prices are higher than the actual cost of delivering to its own employees. Query with the provider any instances where these values are the same or similar.

Note that you can also check with the provider as to whether it is delivering provision to its own employees and ensure that the relevant ILR records are correct.

This report contains a derived variable that calculates the *Total negotiated price as proportion of funding band maximum*. As a result, it can be used in conjunction with report 21A-210 (Negotiated prices as a proportion of funding band maxima) to identify learners that fall within a specific range.

The report also contains a derived variable that calculates the *Total assessment price as proportion of funding band maximum*. Use this field to check whether there are any apprenticeship standards where the price of end-point assessment exceeds 20% of the funding band maximum, as this should not usually be the case⁷.

The report also contains a derived variable that calculates the *Average weekly planned off-the-job training hours*. Use this field as a guide to check whether there are any apprenticeships where the number of planned off-the-job training hours are unrealistically high or low. It is reasonable to expect that this average should generally centre around 6 hours and be unlikely to exceed 8 hours. Follow up any learners where the average is very low, or where it exceeds 8, to ensure that the planned off-the-job training hours are accurate. Filter out restarts as the average weekly planned off-the-job training hours will be skewed by the planned duration of the restarted programme, which will be shorter than the total planned duration.

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

[Back to contents page](#)

⁷ Paragraphs P184, EP209 and E204 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

21A-104: All Advanced Learner Loan and Loans Bursary Fund learners

Funding model: 99

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

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

The ESFA no longer allows providers to subcontract provision funded by loans (“loans provision”). Check whether there is any subcontracted loans provision in the current year by applying the following filters:

- *Subcontracted or partnership UKPRN* is not blank; and
- *Learning actual end date* is blank or *Learning actual end date* is after 31/07/2020.

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

Where records exist, check with the provider as to whether or not the provision is definitely delivered by a subcontractor. If it is not, the provider needs to remove the value for *Subcontracted or partnership UKPRN* in the ILR. If it is, check whether the provision satisfies any of the minor exceptions to the rules on subcontracting loans funded provision left over from the 2016 to 2017 funding year (“2016/17”)⁸. Where any of the subcontracted provision identified does not satisfy these requirements, the provider must review all affected provision and correct the ILR accordingly.

[Back to contents page](#)

21A-105: Learners enrolled on English and/or maths learning aims

Funding models: 35, 36, 81

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

Providers can claim full funding for English and/or maths learning aims, up to and including level 2, delivered within the adult education budget as part of the legal

⁸ Paragraphs F21 to F24.4 of the *Advanced Learner Loans funding and performance-management rules for the 2016 to 2017 funding year*.

entitlement⁹. Use this report to identify learners for which the provider may be under-claiming funding. Apply the following filters:

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

Any learning aims displayed could be eligible for full funding. Check that the learners meet the legal entitlement eligibility and that the provision is fundable as per the funding rules¹⁰.

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

[Back to contents page](#)

21A-106: Learning support funding

Funding models: 35, 36, 81

Identifies learners and all recorded instances of learning support funding.

This report will be useful should you need to undertake any additional testing of learning support funding.

[Back to contents page](#)

21A-107: Learning aims by delivery postcode

Funding models: 35, 36, 81

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

This report may be useful for identifying the extent of a potential issue where you identify funding errors that could be ring-fenced according to a particular delivery location, and you need to undertake additional testing.

⁹ Legal entitlements, page 34, and Government contribution table, page 36, *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

¹⁰ Paragraphs 190 to 196, *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

You can also filter the *Delivery location postcode* on values that relate to the provider's own sites and check whether the provider has recorded a value for *Subcontracted or partnership UKPRN*. In such instances, check whether a subcontractor is actually delivering the provision on the provider's premises.

[Back to contents page](#)

21A-108: Funding by subcontractor

Funding models: 35, 36, 81

Limitation: With ILR XML input, outputs count of learners only.

Summarises by subcontractor and funding line the value, by source of funding, of provision delivered by a subcontractor.

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

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

Use this report in completing working papers D9 and D10.

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

[Back to contents page](#)

21A-201: 19+ apprentices with full funding claimed

Funding model: 35

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

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

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

Report 21A-202 (19+ apprentices with enhanced or extended funding) deals with the second and third bullets above, for those learners where *Eligibility for enhanced apprenticeship funding* applies. The output for this report excludes such learners.

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

- *Education Health Care Plan* is blank.

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

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

- *Age at start of programme* > 24.

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

Where the learner does not qualify for full funding, the provider must change the code value relating to the ILR learning delivery funding and monitoring (FAM) Type *FFI (Full or co-funding indicator)* to 2 (co-funding). This includes instances of learners returning to learning having previously withdrawn, where there is no evidence of an intention to return when the learning was suspended¹¹.

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

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

21A-202: 19+ apprentices with enhanced or extended funding

Funding models: 35, 36, 81

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

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

Auditors can use this report routinely to check evidence held to support claims for enhanced or extended funding for adult apprentices including evidence of learners' intentions to return following breaks in learning.

Funding model 35

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

- a) the ILR learning delivery FAM type *RES (Restart indicator)* has been completed (as well as *Original learning start date*, where applicable); or
- b) the apprentice was aged between 19 and 24 when they started and is subject to an EHCP; or
- c) the apprentice was aged between 19 and 24 when they started and satisfies the conditions for extending the funding¹².

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

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

¹² Paragraphs C14 to C16 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*.

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

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

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

- *Eligibility for enhanced apprenticeship funding* = 4.

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

In all of the instances above, where the provider holds evidence to support claims for enhanced or extended funding, it must correct the respective ILR field. Where the learner does not qualify for enhanced or extended funding, the provider must remove the ILR learning delivery FAM type *EEF (Eligibility for enhanced Apprenticeship funding)* and the respective Code (2, 3 or 4). This includes instances of learners returning to learning having previously withdrawn, where there is no evidence of an intention to return when the learning was suspended¹³.

Funding model 81

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

- a) the ILR learning delivery FAM type *RES (Restart indicator)* has been completed (as well as *Original learning start date*, where applicable); or
- b) the apprentice was aged between 19 and 24 when they started and is subject to an EHCP; or
- c) the apprentice is eligible for the additional 16 to 18 employer incentive¹⁴.

¹³ Paragraph A41 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

¹⁴ Paragraphs D33, D80 to D84 of the *Apprenticeship standards funding rules for the 2016 to 2017 funding year*.

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

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

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

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

Now apply all of the following filters:

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

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

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

Funding model 36

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

- a) the ILR learning delivery FAM type *RES (Restart indicator)* has been completed (as well as *Original learning start date*, where applicable); or

- b) the apprentice was aged between 19 and 24 when they started and is subject to an EHCP; or
- c) the apprentice was aged between 19 and 24 when they started and has been in the care of their local authority¹⁵.

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

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

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

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

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

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

- *Eligibility for enhanced apprenticeship funding* = 4.

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

In all of the instances above, where the provider holds evidence to support claims for enhanced or extended funding, it must correct the respective ILR field. Where the

¹⁵ Paragraphs P118, EP111 and E101 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

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

[Back to contents page](#)

21A-203: Apprenticeship frameworks minimum duration exceptions

Funding models: 35, 36

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

Apprenticeship frameworks must have a minimum planned delivery duration of at least 12 months¹⁶. The definition of 12 months in the context of minimum duration depends on the funding model and, for ILR purposes:

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

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

The only exception to this minimum duration rule is where the provider is not delivering all the elements of an apprenticeship framework, that started prior to 1 May 2017 (FM35), due to the recognition of prior learning or previously certificated achievement of a mandatory aim. Even with this exception, the duration must be at least six months¹⁷. Otherwise, they are not eligible for funding.

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

- For achievements (FM35) or completions (FM36), programmes with an actual duration of less than 12 months. Where there is more than one episode of

¹⁶ Note that earlier versions of apprenticeship funding rules referred to a minimum planned delivery duration of one year. We will refer to 12 months in the context of the minimum duration of an apprenticeship regardless of whether the applicable funding rules refer to 12 months or one year.

¹⁷ Paragraph C7 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*.

learning in the ILR, PDSAT checks the cumulative actual duration. If the planned duration is also less than 12 months, all the funding is ineligible. If the planned duration is at least 12 months, the provider cannot:

- record the apprenticeship as achieved (FM35) in the ILR (i.e. it must not record *Outcome* = 1) or claim an achievement payment.
 - record the apprenticeship as completed (FM36) in the ILR (i.e. it must not record *Completion status* = 2) or claim a completion payment.
- For leavers that have not been recorded as achievements (FM35) or completions (FM36), programmes with an actual duration of less than 12 months and a planned duration of less than 12 months. Where there is more than one episode of learning in the ILR, PDSAT checks the planned duration of the most recent programme, taking into account the actual amount of time on previous episodes of learning. The funding for the most recent episode of learning is ineligible. This may also be the case for previous episodes of learning if they also failed to satisfy the rules on minimum duration.
 - For learners still in learning, programmes with a planned duration of less than 12 months and an actual duration to date of less than 12 months (including cumulative durations as described above). The provider must end the current apprenticeship programme and add a restarted programme with a learning planned end date that ensures that the minimum duration requirement is satisfied. Funding adjustments for prior learning will be required for individual learning aims.

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

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

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

The provider will need to investigate the circumstances of each learner listed in the report. It could be that there are earlier episodes of learning in prior years and that PDSAT cannot count these because they do not appear in this year's ILR. The additional

duration of any such earlier episodes of learning may enable the learner to meet the rules on minimum duration. However, the provider will need to supply evidence of these.

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

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

It is acceptable to reduce the planned duration of an adult apprenticeship within FM35 below 12 months if, for example, the provider is not delivering a functional skill because prior achievement of a GCSE satisfies the mandatory requirement of the framework. Note that where there is no prior learning, it is not acceptable to apply a funding reduction solely with the intention of delivering an adult apprenticeship in less than 12 months.

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

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

[Back to contents page](#)

21A-204: Apprenticeship standards minimum duration exceptions

Funding models: 36, 81

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

The method of calculating the planned duration of an apprenticeship standard programme from ILR records differs depending on when the programme started.

For starts on or after 1 August 2019, the *Learning start date* and the *Learning planned end date* recorded in the ILR reflect the planned practical period of training and do not

include the end-point assessment period. For starts prior to this date, the period between these dates includes the end-point assessment.

Where the learner completes the learning activities contained within the practical period on or after 1 August 2019, the *Learning actual end date* will reflect the date of completion of these learning activities and will not include the end-point assessment period. In all other circumstances, the *Learning actual end date* will contain the end-point assessment period.

Within FM36, where the end-point assessment period starts on or after 1 August 2019, the *Achievement date* reflects the date that the learner completes the end-point assessment (irrespective of whether or not they achieve). Otherwise, the *Achievement date* field is not completed.

Within FM81, the *Achievement date* reflects the date that the learner achieves the apprenticeship programme. Otherwise, the *Achievement date* field is not completed.

All of the above means that PDSAT has to derive the minimum planned delivery duration using the values in various ILR fields, including *Learning start date*, *Learning planned end date* and *Learning actual end date*, as well as *Achievement date*, *Completion status* and *Outcome*.

As a result, apprenticeship standards must have a minimum planned delivery duration either of at least 12 months or of 372 days, dependent on the above. For ILR purposes, the *Learning planned end date* must be either at least the day before, or at least a week beyond, the anniversary of the *Learning start date* (except where the planned duration includes a leap day).

Due to this variation in the way that the ILR requires apprenticeship standards to be recorded, these notes will refer to the required durations as “12 months/372 days” and will not continually add the condition, “dependent on the above”.

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

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

- For achievements (FM81) or completions (FM36), programmes with an actual duration of less than 12 months/372 days. Where there is more than one episode of learning in the ILR, PDSAT checks the cumulative actual duration. If the planned duration is also less than 12 months/372 days, all the funding could be ineligible. If the planned duration is at least 12 months/372 days, the provider cannot:

- record the apprenticeship as achieved (FM81) in the ILR (i.e. it must not record *Outcome* = 1) or claim an achievement payment.
 - record the apprenticeship as completed (FM36) in the ILR (i.e. it must not record *Completion status* = 2) or claim a completion payment.
- For leavers that have not been recorded as achievements, programmes with an actual duration of less than 12 months/372 days and a planned duration of less than 12 months/372 days. Where there is more than one episode of learning in the ILR, PDSAT checks the planned duration of the most recent programme, taking into account the actual amount of time on previous episodes of learning. The funding for the most recent episode of learning is ineligible. This may also be the case for previous episodes of learning if they also failed to satisfy the rules on minimum duration.
 - For learners still in learning, programmes with a planned duration of less than 12 months/372 days and an actual duration to date of less than 12 months/372 days (including cumulative durations as described above). The provider must end the current apprenticeship programme and add a restarted programme with a learning planned end date that ensures that the minimum duration requirement is satisfied. Funding adjustments for prior learning will be required for individual learning aims.

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

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

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

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

Check that the *Learning planned end date* has been accurately input based on the information in the learning agreement. Where this results in the apprenticeship not

meeting minimum duration requirements, the provider must take corrective action accordingly.

[Back to contents page](#)

21A-205: Apprentices and trainees with co-funding

Funding model: 35

Lists apprentices that were aged 16 to 18 when they started their framework, apprentices with Education, Health and Care Plans (EHCP) that were aged 19 to 24 when they started their framework and trainees, where their learning aims are co-funded.

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

Any records on this report are likely to be under-claims of funding, unless the provider has returned any relevant data incorrectly, such as the date of birth.

[Back to contents page](#)

21A-206: Employment status exceptions

Funding models: 35, 36, 81

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

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

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

Apprentices that started their programmes prior to 1 May 2017 cannot be in one of the groups listed and participate in an apprenticeship programme (except in the case of

apprenticeship frameworks, where alternative completion conditions apply to self-employed learners¹⁸ or learners that are unemployed or made redundant¹⁹, and apprenticeship standards, where specific rules apply in the case of redundancy²⁰).

Apprentices that started their programmes on or after 1 May 2017 cannot be in groups a) or b) above and participate in an apprenticeship programme, except for when specific rules apply in the case of redundancy²¹ or where learners have a break in employment that lasts for no longer than 30 days²².

Note that due to the COVID-19 coronavirus pandemic, the ESFA has updated its funding rules, as well as issuing additional documentation²³, in relation to redundant apprentices, regardless of when they started their apprenticeship programme.

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

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

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

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

- *Benefit status indicator* in (1, 2, 4)
- *Employment intensity indicator* in (2, 5).

Note that to check for definite data errors, the current range of values for *Employment intensity indicator* only enables checking of learners recorded as employed for up to 10 hours.

For each filtered list, any records that appear could contain either data errors or over-claims of funding. Exceptions are the filter on *Employment status*, where you will need to

¹⁸ Paragraph B9 of the *Apprenticeships: common funding and performance-management rules for the 2016 to 2017 funding year*.

¹⁹ Paragraphs C3 and C4 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*.

²⁰ Paragraph D137 of the *Apprenticeship standards funding rules 2016 to 2017*.

²¹ Paragraphs P304 to P305, EP334 to EP337 and E314 to E317 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

²² Paragraphs P290, EP321 and E303 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers and employer-providers.

²³ See sections relating to redundant apprentices, *Providing apprenticeships during the coronavirus (COVID-19) outbreak*.

check whether rules on redundancy apply, and the filter on *Self employment indicator*, where you will need to check whether alternative completion conditions apply to each learner's occupation and framework²⁴ before determining whether a data or funding error exists. Where the provider holds evidence to support claims for apprenticeship funding, it must correct the respective ILR field. Where the ILR data accurately reflects the learner's circumstances and the provider has claimed funding in error, it must take remedial action to correct the funding. This could involve removing the learner's apprenticeship programme from the ILR where the programme is ineligible for funding.

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

[Back to contents page](#)

21A-207: Apprentices undertaking level 1 or below in English and/or maths within an apprenticeship

Funding models: 36, 81

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

Only where the provider has conducted an initial assessment demonstrating that the learner needs to study at a lower level before being able to achieve level 2 will the ESFA fund level 1 or below in English and/or maths²⁵.

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

For learners listed, the provider must hold evidence of such an assessment, otherwise it cannot claim funding for the reported level of English and/or maths and must amend the ILR accordingly. Note that there may be exceptions for learners with special educational needs, learning difficulties and/or disabilities²⁶.

Note that, following achievement of the lower level of English and/or maths, the provider will normally need to enrol the learner on level 2, where the learner must study and take the assessment for the level 2 qualification. This report contains a field displaying the number of days remaining on the programme following the learning planned end date of the lower level of English and/or maths. Consider whether the provider has allowed

²⁴ Paragraph C5 of the *Apprenticeship frameworks funding and AGE performance-management rules for the 2016 to 2017 funding year*.

²⁵ Paragraph P146, EP171 and E167 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

²⁶ Paragraph P141, EP166 and E162 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

sufficient time for the learner to undertake the level 2 studies and assessment. Before raising any queries relating to this issue, check whether the requirement for level 2 apprentices to study towards, and attempt, the functional skills assessment at level 2 was temporarily suspended due to the COVID-19 coronavirus pandemic²⁷.

This report also considers apprentices enrolled on level 1 or below in English and/or maths within a standard starting prior to 1 May 2017. Unless they had already achieved level 2 in English and/or maths, such apprenticeship standards required learners to take level 2 English and/or maths. Only where the lead or contracted provider conducted a formal, recognised assessment demonstrating that the learner needed to study at level 1 first in order to successfully achieve level 2 could the learner enrol on level 1 English and/or maths²⁸.

Identify these learners by applying the following filters:

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

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

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

Identify these learners by applying the following filters:

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

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

[Back to contents page](#)

²⁷ Suspension of the level 2 test, page 33 (P), page 38 (EP) and page 40 (E) of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

²⁸ Paragraph D45 of the *Apprenticeship standards funding rules 2016 to 2017*.

21A-208: Higher level apprentices undertaking English and/or maths at level 2

Funding model: 36

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

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

[Back to contents page](#)

21A-209: English and/or maths in an apprenticeship having already achieved level 1 or above

Funding model: 36

Funding rules monitoring plan: FRM13

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

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

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

Providers can claim funding for delivering English and/or maths to apprentices if they do not already meet the required standard. Funding is available for functional skills at level 2 where the learner does not already hold GCSE grades A* to C or 9 to 4 in the respective subject, or the same level of functional skills.

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

21A-210: Negotiated prices as a proportion of funding band maxima

Funding model: 36

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

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

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

As well as an overall count, the learners are also split into groups by age (16 to 18 and 19 and over) and by level (2, 3, 4, 5, 6 and 7+). Bear in mind that for 16- to 18-year-old learners, you may expect similar negotiated prices as a proportion of the funding band maximum, given that such learners are less likely to have prior learning and experience that could contribute to a reduction in the negotiated price. This would be less so for adult learners, where you may expect a much wider range of prior learning and experience.

In respect of the breakdown of learners by level, it is reasonable to expect that the negotiated price as a proportion of the funding band maximum will decrease as the level increases, given that learners at a higher level may be more likely to have relevant prior learning experience. Where negotiated prices for higher levels are generally uniform with no evident reductions, this could indicate that there may be issues with the assessment of learners' knowledge, skills and behaviours in determining the negotiated price.

Use this report in conjunction with 21A-103 (All learners and learning aims within the new apprenticeship programme) where you are undertaking any specific review of negotiated prices.

21A-211: Negotiated prices and actual cost

Funding model: 36

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

Where providers deliver apprenticeship training to their own employees, the recorded price must reflect the actual cost of delivery²⁹, meaning that there should be an appropriate differential between this and the negotiated training price for delivering apprenticeship training to employees of other businesses.

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

[Back to contents page](#)

21A-212: Apprenticeship planned durations

Funding model: 36

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

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

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

Look for apprenticeship programmes that have relatively high numbers of learners on significantly different planned durations. For any individual apprenticeship programme,

²⁹ Paragraph P2 and EP212 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers and employer-providers.

use report 21A-103 (All learners and learning aims within the new apprenticeship programme) to identify the learners affected and check whether there is any commonality between groups of learners and planned durations, such as whether they have the same employer.

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

[Back to contents page](#)

21A-213: Apprentices withdrawing from the programme soon after attracting an additional payment

Funding model: 36

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

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

For the learners identified, ask the provider for evidence to support the learners' eligibility for additional payments³⁰, and check evidence to support the *Learning start date* and the *Learning actual end date*. The provider will need to make the necessary data adjustments where it cannot supply the evidence.

[Back to contents page](#)

21A-214: Recording co-investment payments

Funding model: 36

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

For non-levy paying employers and for levy paying employers with insufficient funds their apprenticeship service accounts, the employers must co-invest 5% of the negotiated price (10% for apprenticeship programmes that started prior to 1 April 2019) up to the maximum value of the funding band. In addition, where the negotiated price exceeds the

³⁰ Paragraphs P116 to P121, EP109 to EP113 and E100 to E103 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

funding band maximum, all employers must co-invest 100% of the proportion of the negotiated price that is above the funding band maximum.

Due to the COVID-19 coronavirus pandemic, there is an increased risk of apprentices being made redundant. The ESFA has revised its funding rules so that more apprentices that have been made redundant can continue with their apprenticeship programme, with the ESFA funding the remaining costs. However, for the period during which the apprentice was employed, if the employer was required to co-invest, it is still liable for the total value of co-investment applicable to that period of employment.

For learners listed, filter on *Learning aim reference* = "ZPROG001" and use the *Learning start date* values to establish whether the provider should have collected and recorded employers' co-investment payments, bearing in mind that the learner may not have been on the programme long enough for a payment to have been made. Note that providers must collect co-investment from employers at least every three months and report these values in the ILR³¹.

Using the [Employer Data Service database](#), look for the provider's Employer Reference Number(s) (ERN). For each ERN, filter on *Employer identifier* = ERN value. For learners listed, check whether the provider is delivering the apprenticeship to its own employees, requiring no co-investment records in the ILR. In this case, the provider must record *LDM* = 356 in the ILR.

Also, check whether the provider has authorisation to waive the recording of apprenticeship payments. In this case, it must record *LDM* = 361 in the ILR. In such instances, check that the provider has evidence of such authorisation from the ESFA.

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

[Back to contents page](#)

21A-215: Apprenticeship standards with no end-point assessment organisation

Funding model: 36

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

³¹ Paragraphs P249 of the *Apprenticeship funding rules, August 2020 to July 2021* for main providers.

Employers must select an end-point assessment organisation and negotiate a price for end-point assessment before learners reach the gateway and move onto end-point assessment. The end-point assessment organisation must be in place at least three months before the learner reaches the gateway³².

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

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

[Back to contents page](#)

21A-216: Planned off-the-job training hours

New for 2020/21

Funding model: 36

Identifies apprenticeship programmes with planned off-the-job training hours that may not meet the minimum requirement.

For each learner, this report uses the apprenticeship programme's planned duration, statutory annual leave entitlement and the least possible employment hours derived from the code associated with the employment status monitoring type *EII (Employment intensity indicator)* to calculate the least possible minimum off-the-job training requirement. For learners appearing on this report, the number of planned off-the-job training hours recorded in the ILR is lower even than this calculated minimum, meaning that their apprenticeship programme does not contain at least the minimum required amount of off-the-job training, risking the apprenticeship's eligibility for funding.

The provider must check each learner listed and correct the planned off-the-job training hours accordingly.

[Back to contents page](#)

³² Paragraphs P177, EP202 and E198 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

21A-217: Actual off-the-job training hours compared to those planned

New for 2020/21

Funding model: 36

Identifies apprenticeship programmes with fewer actual off-the-job training hours than planned off-the-job training hours.

Use this report for ring-fencing and additional testing where you identify errors relating to the delivery of insufficient actual hours of off-the-job training.

It is quite feasible for the number of actual off-the-job training hours recorded in the ILR to be less than the number of planned off-the-job training hours, such as where an apprenticeship is delivered over a shorter duration than that planned³³. Where the actual off-the-job training hours are less than those planned, the provider, employer and apprentice must sign a summary statement confirming their agreement to, and satisfaction with, the quantity of training delivered. Providers must be able to supply such evidence to justify any instances appearing in this report.

Where the evidence does not confirm this, or does not exist, funding for an apprentice's programme may be invalid and subject to recovery.

[Back to contents page](#)

21A-218: Apprenticeship completions

New for 2020/21

Funding model: 36

Identifies apprenticeship standard programmes recorded as complete but with no completion date.

This report will assist providers in ensuring that they claim completion payments for apprenticeship standards.

Once an apprentice has completed the end-point assessment, the provider can report the completion in the ILR by recording *Completion status = 2*.

³³ Paragraphs P64, P65, EP64, EP65, E58 and E59, and the subsequent flowchart in each case, of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

However, to trigger a completion payment, the provider must also return the completion date (i.e. the date that the end-point assessment was completed) in the ILR field *Achievement date* (regardless of the outcome).

Where a provider omits to return the *Achievement date* for an apprenticeship standard completion (where the practical period ended on or after 1 August 2019), it risks missing out on the completion payment.

The provider should review all records listed with a view to updating the *Achievement date*. It must accurately record the date that the end-point assessment was completed and to secure the completion payment, it must be returned before the final R14 hard close for the funding year in which the activity takes place.

Note that whilst this action will ensure that the completion payment is not affected by any omissions to these fields, there are other variables that may affect the completion payment, such as the collection of co-investment from the employer, where applicable.

[Back to contents page](#)

21A-301: Traineeships with incorrect or no work placement aims

Funding model: 35

Identifies traineeship programmes containing either no work placement aims or, for adult skills funding, work placements that are not available for funding as they are below the minimum duration of 70 (non-simulated) hours (100 for starts prior to 20 April 2020), and lists all component aims.

Due to the COVID-19 coronavirus pandemic, the ESFA has reduced the minimum duration of a traineeship work placement to 70 hours. This change took effect from 20 April 2020³⁴ and this report applies the change to traineeship starts from this date.

For learners already in learning on 20 April 2020, if the actual number of work placement hours is fewer than 100 but at least 70, and the work placement meets the conditions set out in the addendum to the funding rules³⁵, this will not result in an error.

Note that you should read any reference below to 70 hours as 100 hours for traineeship starts prior to 20 April 2020.

³⁴ Paragraph 2, *ESFA funded adult education budget (AEB): addendum – traineeships* (May 2020).

³⁵ Paragraph 2, *ESFA funded adult education budget (AEB): addendum – traineeships* (May 2020).

A traineeship must include a work placement³⁶ that lasts at least 70 hours, which do not include simulated hours in an artificial environment³⁷. There is a single learning aim reference number, ZWRKX001, that the provider must use to report work placements within a traineeship in the ILR³⁸.

As well as traineeships containing no work placement, this report will contain any traineeships with a work placement that totals fewer than 70 non-simulated hours (identified in the ILR using the value *Work placement mode* = 2). Check the work placement hours in the learning agreement. If the ILR is incorrect, the provider must correct it as necessary. If the hours are below 70, the traineeship may be ineligible for funding.

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

It is possible that the ESFA will still fund these learners for some of the individual learning aims, depending on whether they satisfy the rules on financial contributions³⁹. If fundable, the provider will need to amend the relevant ILR records accordingly, including amending the code value relating to the learning delivery FAM type *FFI (Full or co-funding indicator)* to 2 where only co-funding applies. Otherwise, the learning aims must be set to non-funded or removed.

[Back to contents page](#)

21A-302: Traineeships with no work preparation aims

Funding model: 35

Identifies traineeship programmes containing no work preparation learning aims.

A traineeship programme must include work preparation as a core element⁴⁰ and is ineligible for funding otherwise. All work preparation activity, including non-regulated

³⁶ Traineeships box, page 56, *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

³⁷ Paragraph 266 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

³⁸ Section 7, Work experience, *Provider Support Manual for 2020 to 2021*.

³⁹ Government contribution table (page 36) and subsequent paragraphs of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁴⁰ Traineeships box, page 56, *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

aims, must be recorded using learning aims categorised as *Work Preparation-SFA Traineeships* in Find a Learning Aim (FLA)⁴¹. You can identify such learning aims by referring to the *Core_LARS_LearningDeliveryCategory* table in the FLA database and filtering on *CategoryRef = 2*.

Learners listed in this report have no such work preparation learning aims recorded in their traineeship programme. Where these learners' learning agreements contain an eligible work preparation learning aim and the provider has omitted to return details of the learning aim in its ILR data return, it must make the necessary data corrections. Where the learning agreement does not contain such an aim, the provider must remove the learner from the traineeship programme. It is possible that the ESFA will still fund these learners for some of the individual learning aims, depending on whether they satisfy the rules on financial contributions⁴². If fundable, the provider will need to amend the relevant ILR records accordingly, including amending the code value relating to the learning delivery FAM type *FFI (Full or co-funding indicator)* to 2 where only co-funding applies. Otherwise, the learning aims must be set to non-funded or removed.

[Back to contents page](#)

21A-303: Traineeship enrolments where previous learning indicates unsuitability or ineligibility

Funding model: 35

Funding rules monitoring plan: FRM19

Identifies learners participating on a traineeship programme during the 2020 to 2021 funding year where they have already been recorded in the ILR as having completed a traineeship programme, achieved an apprenticeship or achieved a full level 4 qualification or above (note, for starts prior to 1 August 2020, a full level 3 qualification or above).

The ESFA is monitoring traineeship programmes to ensure that there is no evidence that learners have sufficient work experience to enable them to enter and sustain employment, and also for learners that already hold a full level 4 or above when they enrol on the traineeship programme.

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

⁴¹ Formerly known as the Learning Aims Reference Service (LARS).

⁴² Government contribution table (page 36) and subsequent paragraphs of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

Due to the COVID-19 coronavirus pandemic, the ESFA amended the funding rules to allow learners with an existing full level 3 qualification to enrol on a traineeship programme. This change took effect from 1 August 2020⁴³ and this report applies the change to traineeship starts from this date. For starts prior to this date, learners with existing full level 3 qualifications were unable to enrol on traineeship programmes.

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

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

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

Learners that already hold at least a full level 4 qualification (or at least a full level 3 qualification for starts prior to 1 August 2020) are ineligible for the traineeship programme, and the learning aims must be removed from the traineeship programme and set to non-funded or removed from the ILR completely.

[Back to contents page](#)

21A-304: Traineeships with flexible elements but no core aims

Funding model: 35

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

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

Where these learners' learning agreements contain the core elements and the provider has omitted to return details of the learning aim in its ILR data return, it must make the necessary data corrections. Where the learning agreement does not contain such aims, the provider must remove the learner from the traineeship programme. Note that it is possible that the ESFA will still fund these learners for the learning aims listed in this

⁴³ Traineeships box, page 56, and paragraph 260 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

report, depending on whether they satisfy the rules on financial contributions⁴⁴. If fundable, the provider will need to amend the relevant ILR records accordingly, ensuring that the code value relating to the learning delivery FAM type *FFI (Full or co-funding indicator)* accurately reflects the correct level of government contribution. Otherwise, the learning aims must be set to non-funded or removed.

[Back to contents page](#)

21A-401: Job outcomes

Funding model: 35

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

To qualify for a job outcome payment (recorded in the ILR using the *Employment outcome* field), a learner must satisfy certain criteria⁴⁵ and the provider must complete the ILR accordingly.

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

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

- *Employment status*
- Employment status monitoring type *BSI (Benefit status indicator)*
- Learning delivery FAM type *LDM (Learning delivery monitoring)*.

[Back to contents page](#)

⁴⁴ Government contribution table (page 36) and subsequent paragraphs of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁴⁵ Paragraph 259 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

21A-402: Enrolments on level 2 entitlement aims after achieving a full level 2 or higher

Funding model: 35

Funding rules monitoring plan: FRM16

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

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

Only unemployed learners⁴⁶ can be fully funded under such circumstances, except where the learners are in receipt of a low wage⁴⁷. This report excludes those learners flagged as in receipt of a low wage and those flagged as released on temporary licence, as well as learners for whom the ILR indicates that they are in receipt of JSA, ESA or Universal Credit, or are in receipt of another state benefit and are either in fewer than 16 hours of paid employment or not in paid employment.

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

[Back to contents page](#)

21A-403: Enrolments on level 3 entitlement aims after achieving a full level 3 or higher

Funding model: 35

Funding rules monitoring plan: FRM17

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

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

⁴⁶ Paragraphs 159 and 160 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁴⁷ Paragraphs 161 to 163 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

This report excludes learning aims funded by devolved authorities due to local flexibilities that they may apply. It also excludes learning aims with the learning delivery FAM type/code *LDM* = 376, denoting high value courses for 18- and 19-year-old school and college leavers.

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

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

[Back to contents page](#)

21A-404: Enrolments on level 2 learning aims that are not part of the legal entitlement

Funding model: 35

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

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

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

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

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

[Back to contents page](#)

21A-405: Co-funded learners undertaking level 3 qualifications

Funding model: 35

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

Outside apprenticeship frameworks (for starts prior to 1 May 2017), level 3 learning aims are either fully funded, for learners exercising their legal entitlement, or funded by loans. There are no circumstances under which co-funding applies for such learning aims.

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

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

[Back to contents page](#)

21A-406: Learners with prior attainment below level 3 funded by an Advanced Learner Loan

Funding model: 99

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

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

As a result of the COVID-19 coronavirus pandemic, the ESFA has introduced additional offers of funded level 3 learning aims for learners with existing prior attainment at level 3. These include high value courses for 18- and 19-year-old school and college leavers⁴⁸ and the level 3 adult offer⁴⁹.

The availability of loans at level 3 does not replace the legal entitlement to full funding for eligible learners aged 19 to 23 undertaking their first full level 3 qualification. Nor does it replace the entitlement to full funding for eligible learners undertaking level 3 qualifications under the high value courses offer for 18- and 19-year-old school and college leavers or the level 3 adult offer.

⁴⁸ High value courses for school and college leavers: a one-year skills offer for 18 and 19-year-olds box, page 39, and paragraphs 166 to 168 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁴⁹ National Skills Fund - level 3 adult offer box, page 40, and paragraphs 170 to 172 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

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

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

[Back to contents page](#)

21A-501: Learners repeating learning aims or programmes that they have already achieved

Funding models: 35, 36, 81

Funding rules monitoring plan: FRM01

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

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

As well as individual learning aims, this report considers apprenticeship achievements.

The ESFA will fund a learner to repeat the same qualification that they have already achieved only in the following circumstances⁵⁰:

- Where it is a requirement of an apprenticeship; or
- Where it is to obtain a higher grade in a GCSE where the learner has not achieved grade C or 4, or higher.

For any learners and repeated learning aims or apprenticeships that appear in this report, if the provider does not hold evidence to confirm that it is due to one of the reasons listed

⁵⁰ Paragraphs P114.13, EP107.13 and E98.13 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers, paragraph 79.6 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021* and, for carry-in apprenticeships, Paragraph A31 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

above, it must remove funding for all instances of the learning aim after the first record of achievement.

Note that although the ESFA's monitoring compares data in the current funding year with that of previous years to identify repeated learning aims, PDSAT can only report repeated learning aims in the current funding year. This report excludes non-regulated learning aims and programme aims relating to different apprenticeship frameworks/pathways and standards for the same learner.

[Back to contents page](#)

21A-502: Learning aims with planned duration of one day

Funding models: 35, 36, 81

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

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

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

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

[Back to contents page](#)

21A-503: Learning aims with actual duration of one day

Funding models: 35, 36, 81

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

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

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

Check learning aims with *Completion status* = 2, as it is unlikely that a learner will have completed all of the learning activity for these learning aim in one day.

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

[Back to contents page](#)

21A-504: Learners in learning beyond their learning planned end date

Funding models: 35, 36, 81

Lists learners and their learning aims where, as at the earlier of the date on which the provider prepared its ILR data return and 31 July 2021, apprentices in learning and other learners either in learning or withdrawn had passed their planned end date.

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

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

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

There is no specified number of days beyond the learning planned end date for which learners must have completed or withdrawn from their learning aim or programme. However, the learning planned end date should be a reasonable reflection of the expected amount of time that a learning aim or programme takes to deliver. Review learners that withdraw, or remain in learning, significantly beyond the learning planned end. Report reviewers should exercise discretion in determining the number of days beyond the learning planned end date that the learner remains or remained in learning, using values that they deem appropriate. In particular, the earlier the learning planned end date, the greater the need to review the learner to establish whether the learner is actually still in learning.

For apprentices, identify those in learning more than *X* days after their programme planned end date (where *X* is the reviewer's selected number of days for apprentices) by applying the following filters:

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

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

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

- *Learning actual end date* is not blank.

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

For learners other than apprentices, first identify those in learning more than *Y* days after their learning planned end date (where *Y* is the reviewer's selected number of days for learners other than apprentices) by applying all of the following filters:

- *Programme type* not in (2, 3, 20, 21, 22, 23, 25)
- *Days in learning beyond learning planned end date (to ILR date if still in learning) > Y*; and
- *Learning actual end date* is blank.

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

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

- *Learning actual end date* is not blank.

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

In all the above instances, any issues may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this

way of working as data management principles include the returning of timely and accurate ILR data⁵¹.

[Back to contents page](#)

21A-505: Withdrawals and qualifying days for funding

Funding models: 35, 36, 81

Lists learners and their learning aims where the learner withdraws (including temporary withdrawals due to an agreed break) from the learning aim close to the qualifying date for funded learning⁵².

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

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

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

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

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

[Back to contents page](#)

⁵¹ Data Management Principles, Section 3, *Provider Support Manual for 2020 to 2021*.

⁵² Paragraphs P266, EP281 and E263 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers, paragraph 66 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021* and, for carry-in apprenticeships, Paragraph A33 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

21A-506: Learning actual end dates

Funding models: 35, 36

Summarises by learning actual end date the number of learners leaving learning aims without achievement during the 2020 to 2021 funding year to facilitate analysis of trends.

This report provides a count of the number of learners leaving individual learning aims without achievement on each calendar date of the current funding year. To qualify for a monthly payment, learners must be in learning on the last day of the month. This report enables a simple visual check to identify any systematic removal of learners on or just after the monthly census date. Check whether the number of learners leaving on the last date of each month or the first days of the month are disproportionately large compared to the rest of the month.

If there is an indication of this, use reports 21A-101 (All adult skills funding model learners and learning aims) and 21A-103 (All learners and learning aims within the new apprenticeship programme) to identify specific examples and follow these up with the provider.

Check whether there is a large number of learners withdrawing from learning aims on 1 August. Where providers find that learners withdrew from learning aims in a previous year, some record the *Learning actual end date* as 1 August, rather than recording the actual date that the learner withdrew. This is incorrect (unless it is to correct significantly incorrect learning planned end dates)⁵³ and providers must review and correct any such instances. Again, use reports 21A-101 and 21A-103 to identify specific instances.

Check whether there are unusual patterns of learning actual end dates, such as counts of learners withdrawing on all days of the week. Learners generally do not withdraw from their learning aims on weekends. In such instances, confirm that the provider's normal delivery patterns include weekends.

Check unlikely learning actual end dates, such as Christmas Day or New Year's Day. Rarely are learners attending learning on these dates and so it is reasonable not to expect withdrawals on such dates. Query with the provider and, if necessary, check evidence to support such learning actual end dates.

[Back to contents page](#)

⁵³ Section 5, Correcting errors, *Provider Support Manual for 2020 to 2021*.

21A-507: Learners resuming regulated learning aims

Funding models: 35, 36, 81

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

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

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

Where a learner restarts, the *Funding adjustment for prior learning* value is based upon the percentage difference between the original planned duration and the proportion of that time that they have already been in learning⁵⁴.

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

Note that for apprenticeships starting on or after 1 May 2017, the *Funding adjustment for prior learning* field affects funding only for English and maths learning aims.

[Back to contents page](#)

21A-508: Learners resuming non-regulated learning aims

Funding models: 35, 36, 81

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

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

⁵⁴ Section 4, Recording learning aims: completing the Learning Delivery entity, Funding adjustment for prior learning and Other funding adjustment, *Provider Support Manual for 2020 to 2021*.

reference number. It also identifies any instances where the same learning aim reference appears more than once for the same learner and none of the aims are flagged as a restart.

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

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

Where a learner restarts, the *Funding adjustment for prior learning* value is based upon the percentage difference between the original planned duration and the proportion of that time that they have already been in learning⁵⁵.

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

Note that for apprenticeships starting on or after 1 May 2017, the *Funding adjustment for prior learning* field affects funding only for English and maths learning aims.

[Back to contents page](#)

21A-509: Breaks in learning where learning is not re-planned on return

Funding models: 35, 36, 81

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

⁵⁵ Section 4, Recording learning aims: completing the Learning Delivery entity, Funding adjustment for prior learning and Other funding adjustment, *Provider Support Manual for 2020 to 2021*.

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

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

[Back to contents page](#)

21A-510: Long breaks in learning with no resumption

Funding models: 35, 36, 81

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

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

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

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

[Back to contents page](#)

21A-511: Early completions

Funding models: 35, 36, 81

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

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

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

The report contains the following calculated fields:

- *Actual duration days*

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

- *Percent complete*

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

- *Days early*

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

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

Where the provider records learners as completing early, check that the learners actually completed the programme and did not withdraw. In particular, for non-achievements (*Outcome = 3*), check that learners have actually completed all of the learning activity leading to the learning aim, as most such learners are unlikely not to go on to achieve.

Some providers base learning planned end dates on a scheduled timetable of classes. Check that the provider is not using a standard learning planned end date for all learners, irrespective of the individual circumstances of each learner and learning aim.

[Back to contents page](#)

21A-512: Completions without a full achievement

Funding models: 35, 36, 81

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

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

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

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data⁵⁶.

[Back to contents page](#)

21A-513: Retention

Funding models: 35, 36, 81

Lists learning aims and the number of funded learners that have neither withdrawn nor taken a break in learning as a proportion of the number of funded starts. The report does not count learning aims with a learning actual end date prior to 1 August 2020.

A disproportionate number of learning aims with a low dropout rate could indicate that the provider is not recording withdrawals in the ILR completely and accurately.

Consider learning aims with high retention rates and use reports 21A-101 (All adult skills funding model learners and learning aims), 21A-102 (All carry-in apprenticeship standards learners and learning aims) and 21A-103 (All learners and learning aims within the new apprenticeship programme) to identify the learners on these learning aims. Use learners' evidence packs or registers in any checks to ensure that all learners appear in the ILR.

[Back to contents page](#)

⁵⁶ Data Management Principles, Section 3, *Provider Support Manual for 2020 to 2021*.

21A-514: Learners with prior attainment level recorded as not known

Funding models: 35, 36, 70, 81

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

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

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

[Back to contents page](#)

21A-515: Learning aims where the annual funding cap has been applied

Funding model: 35

Limitation: Not available with ILR XML input.

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

A funding cap applies to each learner and it applies across all adult skills budget provision except apprenticeships. The funding cap is £4,400 per learner per year, before any weightings or government contribution calculations are applied⁵⁷.

The smaller the value of the cap factor, the greater the proportion of the learner’s programme that is not being funded and the more heavily the learner is capped.

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

Providers are more likely to plan to deliver large aims such as Extended Diplomas over longer periods, such as over two academic or funding years. If the provider has planned

⁵⁷ Paragraph 83 of the *ESFA funded Adult Education Budget Funding Rates and Formula 2020 to 2021*.

to deliver them over a shorter length of time such as only one year, it could be that this is because of prior learning, in which case the provider should have used the *Funding adjustment for prior learning* field to reduce funding. The provider must calculate the reduction in funding and correct the ILR accordingly.

Where such prior learning includes a 90 Credit Diploma or a Diploma, the learner may have already used their legal entitlement to a fully funded first level 3 qualification, in which case the Extended Diploma is eligible for funding only by a loan (unless it is fundable under the level 3 adult offer⁵⁸). In such instances, the provider must correct the ILR to remove all funding from the learning aim.

[Back to contents page](#)

21A-516: Generic postcodes

Funding models: 35, 36, 99

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

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

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

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

Follow up generic values for *Delivery location postcode* as these could result in an under-claim of area cost uplift. Note that a *Delivery location postcode* of “ZZ99 9ZZ” signifies provision delivered away from a learning centre, such as distance learning or e-learning. Due to the COVID-19 coronavirus pandemic, such delivery is more widespread and so there is greater likelihood that these generic values will be correct.

[Back to contents page](#)

⁵⁸ National Skills Fund - level 3 adult offer box, page 40, and paragraphs 170 to 172 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

21A-517: NI Numbers null, temporary or used for HMRC administrative purposes

Funding models: 35, 36, 81, 99

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

Providers should treat the *NI number*⁵⁹ field in the ILR as compulsory for apprentices as they must obtain an apprentice's NI number at the start of their programme. Providers should also collect it for learners in receipt of active benefits and learners referred to learning by Job Centre Plus. This report identifies learners in these groups where the use of the NI number field is as described above.

Temporary NI numbers contain the prefix "TN", followed by the individual's date of birth in ddmmy format and their gender as either "M" or "F". Other prefixes that are, or have been, used by HMRC for administrative purposes include "CR", "FY", "MW", "NC", "OO", "PP" and "PZ" and there are some other prefixes that we understand are not used, such as "BG", "GB", "KN" and "NK".

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

[Back to contents page](#)

21A-518: European Social Fund data for directly funded and match funding provision

Funding models: 35, 36, 70

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

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

- *ULN* = 9999999999 (restricted use)
- *Ethnicity* = 99 (Not provided)
- *LLDD and health problem* = 9 (No information provided by the learner)

⁵⁹ See the *Specification of the Individualised Learner Record for 2020 to 2021* for details of the *National Insurance number* ILR field.

- *Telephone number* is null. This must be provided for all learners within the ESF and adult skills funding models and should also be returned for apprentices funded through a contract for services with the ESFA.
- Learners whose *Employment status on the day prior to starting learning* is 98 (Not known/not provided). The listing excludes such learners where either the learning aim started prior to 01/08/2012 or the learner's *Previous education indicator (PEI)* = 1 (Learner was in full-time education or training prior to enrolment).
- *Household situation (HHS)* = 98 (Learner has withheld this information)
- *Outcome type/code* = OTH3 (Unable to contact learner) or OTH4 (Not known).

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

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

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

In respect of sensitive personal data such as *Ethnicity* and *LLDD and health problem*, we would not necessarily expect providers to seek to extract a different response if learners prefer not to say. However, we have encountered instances where providers have had problems with their software, resulting in a relatively high percentage of learners appearing not to have provided information. This report may prompt providers to check that their MIS is accurately recording and returning data.

[Back to contents page](#)

21A-519: Non-English postcodes

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

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

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

Individuals that live in Scotland, Wales or Northern Ireland can travel to or reside in England to study or learn for specialist provision not available anywhere other than England. However, the ESFA does not expect numbers to be significant⁶⁰.

For learning that takes place in the workplace, the ESFA will fund learners resident in Wales, Scotland or Northern Ireland whose main employment or normal place of work is in England⁶¹. Where an employer, based in the UK, bases their training provision only in England and this would include non-English residents, the ESFA will fund these learners, although it does not expect numbers to be significant⁶².

Learners ordinarily resident in the Isle of Man or the Channel Islands are ineligible for ESFA funding, unless they are also ordinarily resident in England⁶³.

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

With the exception of apprenticeship programmes, the ESFA will not fund any learning provision delivered outside England⁶⁴. In the case of carry-in apprenticeships, providers must have obtained permission from the ESFA before delivering provision outside England⁶⁵. Use the *Delivery location postcode region* to identify any such instances and check with the provider as to whether it has approval from the ESFA.

Delivery outside England is eligible for funding if it forms less than 50% of an apprenticeship programme starting on or after 1 May 2017⁶⁶. For any records listed where *Funding model* = 36, check with the provider the details of the delivery location of the programme. The value recorded in the *Delivery location postcode* field in the ILR must reflect the location at the start where all or the majority of learning is to be delivered,

⁶⁰ Paragraph 60 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁶¹ Paragraph 61 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁶² Paragraph 62 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁶³ Paragraph 54.5 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021*.

⁶⁴ Paragraph 35 of the *ESFA funded adult education budget (AEB): funding and performance management rules 2020 to 2021* and paragraph 35 of the *Advanced Learner Loans funding and performance management rules: 2020 to 2021 funding year*.

⁶⁵ Paragraph A29 of the *Skills Funding Agency: common and performance management funding rules for the 2016 to 2017 funding year*.

⁶⁶ Paragraphs P78.7, EP78.5 and E69.5 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

so a non-English postcode will not automatically invalidate funding, but investigation could identify that the provider has recorded an incorrect value.

[Back to contents page](#)

21A-520: All OfS funded learners

Funding models: 35, 36, 81

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

Focus on learners with multiple learning aims, some of which are funded by the OfS (*Source of funding* = 1) and others of which are funded by the ESFA or a devolved authority (*Source of funding* in (105, 110, 111, 112, 113, 114, 115, 116, 117)).

Check whether there are any similarities between the learning aims funded by the OfS and the ESFA or devolved authority that indicate that there could be some overlap of provision and that a funding adjustment could be applicable.

For apprenticeships starting on or after 1 May 2017, check that the learner is not enrolled on a higher education (HE) programme when they start their apprenticeship. In this situation, the apprenticeship is not eligible to be funded from an employer's apprenticeship service account or by co-investment⁶⁷.

For apprentices that also have learning aims recorded as funded by the OfS, check whether this is definitely the case and confirm whether it is actually the employer that is funding the HE provision. If so, the provider needs to amend the code value relating to the learning delivery FAM type *SOF (Source of funding)* from 1 to 998.

[Back to contents page](#)

⁶⁷ Paragraphs P89.3, EP89.3 and E78.3 of the respective *Apprenticeship funding rules, August 2020 to July 2021* for main providers, employer-providers and employers.

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

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

For assurance reviews of provision funded through the adult education budget only, you can use report 21B-001 first to check whether the reports contain any records before outputting them. When reviewing the reports, start by filtering on *Source of funding* = 105 to identify adult skills funded provision within funding model 25.

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

Note that references to the 16 to 19 funding model includes T Level programmes, unless otherwise stated. References to 16 to 19 study programmes (or study programmes) exclude T Level programmes.

21Y-101: All 16 to 19 funding model learners and learning aims

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

This is a complete listing of all learners and learning aims within the 16 to 19 funding model (FM25), except for T level programmes (*Programme type* = 31) which are listed in report 21Y-102.

Learners aged 19 and over can be funded at young people's rates only if they have an Education, Health and Care Plan (EHCP). Where they do not have an EHCP, they must be funded under adult funding. Use this report to identify learners that were aged 19 and over when they started their study programme, where they do not have an EHCP and are, therefore, categorised as a 19+ continuing learner. Apply the following filters:

- *Age on 31 August of funding year in which the programme started* ≥ 19; and
- *Funding line* = "19+ Continuing Students (excluding EHCP)".

The learners listed are not eligible to be funded under the 16 to 19 funding model (FM25) and the provider must remove them this funding model. If it has an adult education budget funding agreement, and if the learners' programmes are eligible to be funded under the adult education budget, the provider can move them to the adult skills funding model (FM35).

The report contains the following calculated fields:

- *Qualification hours (% of overall programme)*

This calculates the proportion of learners' planned study programme hours that relate to qualification activity. The ESFA expects that most of its 16 to 19 learners on study programmes should be spending most of their funded time undertaking qualification activity. By sorting or filtering on the lowest values for *Qualification hours (% of overall programme)*, raise with the provider any instances where learners are spending most of their time undertaking non-qualification hours. Do not include programmes such as traineeships, where non-qualification activity (e.g. work experience) could form a substantial part of the programme.

Look for instances where learners with 100% qualification hours are enrolled on non-regulated learning aims, including work experience. Since these learning aims represent non-qualification hours, there should be a positive value in the ILR for relevant learners' *Planned employability, enrichment and pastoral hours*.

- *Average weekly planned hours in year (programme)*

This calculates the average number of planned study programme hours per week across the planned duration of the programme. Learners' study programmes should not exceed 40 hours per week⁶⁸. Filter on *Average weekly planned hours in year (programme) > 40*. Should any records be displayed, raise them with the provider in order that it can consider remedial action.

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

This calculates the average number of planned study programme hours per week across the actual duration of the programme. Where learners have completed their study programme, this variable indicates whether the number of hours that must have been delivered per week appears unrealistic or undeliverable.

- *Difference between average weekly planned hours and planned hours per actual week*

This calculates the difference between the two derived variables above. The larger a negative value this variable is, the greater the number of hours per week the provider needed to deliver above those planned in order to complete the programme. This indicates whether the number of hours that must have been delivered per week appears unrealistic or undeliverable. When looking at learners with such values, ensure that they have completed their programme by checking that *Completion status = 2* for each of their learning aims. Raise any such instances with the provider in order that it can consider remedial action.

⁶⁸ Paragraph 93 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

This report will also be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced. In addition, it is useful as a reference for any issues found in other reports, where you need to look at the details of a learner's entire study programme.

[Back to contents page](#)

21Y-102: All learners and learning aims within the T Level programme

New for 2020/21

Lists all learners and learning aims within T Level programmes.

This is a complete listing of all learners and learning aims within the T Level programme (*Programme type = 31*).

This report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced. In addition, it is useful as a reference for any issues found in other reports, where you need to look at the details of a learner's entire T Level programme.

[Back to contents page](#)

21Y-104: Core aims

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

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

A T Level programme's core aim must be the technical qualification, so the notes below relate to study programmes only.

The ESFA uses the core aim to determine whether the programme is academic or vocational, whether the learner is retained on the programme and for calculating the programme cost weighting. As such, it is important that the provider determines the most appropriate learning aim as the core aim⁶⁹.

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

⁶⁹ Paragraphs 56 to 64 of the *Funding guidance for young people 2020 to 2021: Funding rates and formula*.

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

Use the *OfQualGlhMin* and *OfQualGlhMax* fields in the report as a guide to the size of the qualification. It may not be appropriate for learning aims with relatively small values in these fields to be determined to be the core aim, particularly where learners have withdrawn from other more substantial learning aims. Also, consider the size of the qualification relative to the number of planned hours in the study programme. Use report 21Y-101 (All 16 to 19 funding model learners and learning aims) to check the full study programme for relevant learners and query with the provider any potential anomalies.

[Back to contents page](#)

21Y-105: Learning aims by delivery postcode

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

This report may be useful for identifying the extent of a potential issue where you identify funding errors that could be ring-fenced according to a particular delivery location, and you need to undertake additional testing.

Filter the *Delivery location postcode* on the value "ZZ99 9ZZ". Providers must use this value to denote provision delivered away from a learning centre, such as distance or e-learning.

Should there be any work placement learning aims with this value for *Delivery location postcode*, follow this up with the provider and seek to determine whether the provider knows where the learners are. Where young people are undertaking work placements, it is reasonable to expect that the provider should know where the work placement is taking place, and the ILR should reflect this.

For other learning aims, use report 21Y-101 to determine whether there are any learners for whom all of their learning aims are delivered away from a learning centre. If there are any such learners, check whether there is evidence that the planned hours are actually planned and timetabled.

[Back to contents page](#)

21Y-106: Funding by subcontractor

Summarises by subcontractor and funding line the value of ESFA funded 16 to 19 provision delivered by a subcontractor.

Limitation: With ILR XML input, outputs count of learners only.

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

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

[Back to contents page](#)

21Y-107: All work placements

Identifies learners with work placement learning aims (including industry placements within T Level programmes and the Capacity and Delivery Fund) and lists details of each individual placement.

This is a complete listing of work placement learning aims within the 16 to 19 funding model (FM25). This report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

Learners on T Level programmes must participate in industry placements consisting of at least 315 hours (subject to exceptions, such as the Early Years Education occupational specialism within the Education and Childcare T Level, which requires at least 750 hours). Apply the following filters:

- *Learning aim reference = "ZWRKX003"; and*
- *Total planned external work placement hours < 315.*

Note that the T Level programme only commenced in September 2020 and individual T Level programmes normally last for two years. This means that some learners' industry placements may not be fully formed until later in the programme. For any records displayed, avoid raising queries with the provider unless a significant proportion of the programme has elapsed, such that it is reasonable to expect that the full extent of the industry placement should have been planned.

Some providers are delivering provision within the Capacity and Delivery Fund, which include external industry placements consisting of at least 315 hours across no more than two employers (exceptions include learners with special education needs or disabilities and those in Young Offender Institutions or other custodial settings). Apply the following filters:

- *Learning aim reference = "ZWRKX002"; and*

- *Total planned external work placement hours < 315.*

Should there be any records displayed, check first as to whether any of the learners listed are in the group of exceptions. Then, check as to whether any other work placements are planned to ensure that the total number of work placement hours for each learner will be at least the minimum. Bear in mind that where the work placement crosses funding years, there may be additional work placement hours in the ILR relating to the other funding year that bring the total number of hours up to at least the minimum.

Since work placement hours are not qualification hours, they must be included in *Planned employability, enrichment and pastoral hours* in the ILR (this does not apply to T Level programmes). For each learner listed, check that the value in this field is at least the calculated value of *Total planned external work placement hours*.

Where errors are identified, such as an incorrect learning aim reference, an incorrect number of work placement hours planned or an incorrect categorisation of work placement hours as *Planned learning hours*, ask the provider to correct the data as necessary.

[Back to contents page](#)

21Y-108: Summer term starts

Lists learners that start a programme on or after 1 May in the current funding year, together with all of their learning aims.

The ESFA expects learners aged 16 to 19 to be enrolled on full-time programmes. Moreover, full-time learners are limited to one full-time funding entitlement.

Young people who have already been funded on a full-time basis in the funding year are not usually eligible to start funded summer courses⁷⁰. Providers must conduct rigorous checks on all learners enrolling on summer courses to ensure that they are eligible for funding⁷¹.

Where this report contains records, check that the provider has confirmed that the learners listed have not already been enrolled on a full-time programme anywhere in this funding year.

Should the provider have claimed funding for ineligible provision, it must correct the ILR accordingly to remove the funding.

⁷⁰ Paragraph 55 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

⁷¹ Paragraph 82g of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

21Y-109: Advanced maths premium

Lists learners enrolled on level 3 maths learning aims that may be eligible for advanced maths premium funding.

The ESFA gives providers additional funding to increase the number of learners studying for certain advanced maths qualifications.

Where this report contains records, check a small sample to ensure that the following ILR values are consistent with the supporting evidence:

- *Learning start date*
- *Learning planned end date*
- *Learning actual end date*
- *GCSE maths qualification grade*

Check that there is evidence that the learners are enrolled and are attending lessons in line with the dates above.

Where you identify any errors, the provider will need to check all of the records on the report and make the necessary corrections to the ILR.

21Y-201: Full-time learners on short study programmes

Lists learners on a full-time 16 to 19 study programme (i.e. 540 hours or more) and the learning aims within the programme where the programme has a planned duration of fewer than 24 weeks.

The programme's planned hours are derived from the sum of the values in the ILR fields Planned learning hours and Planned employability, enrichment and pastoral hours.

The purpose of the report is to identify full-time learners on compressed 16 to 19 study programmes.

A common error that providers make is to omit to update the values in the ILR fields *Planned learning hours* and *Planned employability, enrichment and pastoral hours* for

continuing learners at the start of a new teaching year⁷². You may find that learners appear on this report for this reason.

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

One of the ESFA's principles of funding learning is that each learner's planned hours are realistic, deliverable and can be evidenced to confirm that the activity is timetabled and exists. Check whether it is feasible to deliver programmes over such short periods, investigating the circumstances. There may be patterns of delivery for specific types of programmes that the provider systematically delivers over short periods.

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

[Back to contents page](#)

21Y-202: Learners with high weekly study hours

Funding rules monitoring plan: FRM30

Lists learners shown as having high weekly planned hours.

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

The ESFA is monitoring learners with more than 30 planned hours per week. Although the funding regulations states that learners' planned hours should not exceed 40 planned hours per week⁷³, this report uses 35 planned hours as its threshold as it is reasonable to expect that most learners will not be studying for more than an average of 7 hours per day.

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

A common error that providers make is to omit to update the values in the ILR fields *Planned learning hours* and *Planned employability, enrichment and pastoral hours* for

⁷² Section 4, Learner details: Completing the learner entity, *Provider Support Manual for 2020 to 2021* (see also the *Specification of the Individualised Learner Record for 2020 to 2021* for details of the *Planned learning hours* and *Planned employability, enrichment and pastoral hours* ILR fields).

⁷³ Annex B, paragraph 4 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

continuing learners at the start of a new teaching year⁷⁴. You may find that learners appear on this report for this reason.

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

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

[Back to contents page](#)

21Y-203: Learners with high planned hours in-year

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

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

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

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

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

[Back to contents page](#)

21Y-204: Learners with qualification hours for non-qualification programmes

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

⁷⁴ Section 4, Learner details: Completing the learner entity, *Provider Support Manual for 2020 to 2021* (see also the *Specification of the Individualised Learner Record for 2020 to 2021* for details of the *Planned learning hours* and *Planned employability, enrichment and pastoral hours* ILR fields).

Where a learner's study programme contains planned qualification hours, it must contain regulated provision⁷⁵.

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

[Back to contents page](#)

21Y-205: Funded hours thresholds

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

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

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

[Back to contents page](#)

21Y-206: Learners on study programmes of no more than four weeks' duration

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

Learners recruited onto short study programmes are ineligible for ESFA funding if already enrolled with another provider on ESFA funded provision or full-time HE provision⁷⁶. Providers should be able to demonstrate that they are delivering the study programme hours recorded on the ILR and that they have checked that such learners are not being funded elsewhere on longer programmes.

⁷⁵ Paragraph 99 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

⁷⁶ Paragraph 145j of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

Note that study programmes of fewer than two weeks' duration are not eligible for ESFA funding⁷⁷.

[Back to contents page](#)

21Y-207: Withdrawals and qualifying days for funding

Funding rules monitoring plan: FRM29

Identifies learners that have withdrawn from programmes where the actual duration is close to the minimum number of qualifying days for funded learning⁷⁸.

The ESFA is monitoring learners that complete or leave learning on or just after the qualifying period for funding.

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

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

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

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

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

Note that this report also includes learners that withdraw from programmes shortly before satisfying the qualifying period for funding. Providers can use this to check that they have accurately recorded the learning actual end dates for such learners based on the evidence they hold.

[Back to contents page](#)

⁷⁷ Paragraph 145f of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

⁷⁸ Paragraphs 69 to 72 and Table 6 of the *Funding guidance for young people 2020 to 2021: Funding rates and formula*.

21Y-208: Withdrawals and qualifying days for Condition of Funding

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

For a learner to count as enrolled on a learning aim that meets the condition of funding, the learner must meet the qualifying period for funding for the individual learning aim⁷⁹.

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

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

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

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

Note that this report also includes learners that do not meet the condition of funding due to withdrawing from learning aims shortly before satisfying the qualifying period for funding. Providers can use this to check that they have accurately recorded the learning actual end dates for such learners based on the evidence they hold.

[Back to contents page](#)

21Y-209: Completions, withdrawals or transfers within first six weeks

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

⁷⁹ Annex D, paragraph 9 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

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

However, where learners on such programmes satisfy the qualifying period for funding and then withdraw or transfer from learning aims within the first six weeks, providers must amend the planned hours with actual hours delivered⁸⁰.

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

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

[Back to contents page](#)

21Y-210: Withdrawals and planned hours for learners continuing from a previous year

Identifies (and lists all learning aims for) continuing programmes from a previous year from which learners have withdrawn where the actual duration from the first date of attendance may not be six weeks.

Where a learner withdraws from any learning aims within the first six weeks of the second or subsequent year of a study programme that is continuing from a previous year, the provider must update the annual planned hours to remove all of the hours within the funding year for these learning aims, except for any hours actually delivered within the first six weeks. For continuing study programmes, the six weeks are measured from the learner's first date of attendance, which might not necessarily be 1 August⁸¹.

Find out from the provider the first date of attendance for learners listed on this report. For providers that close over the summer holidays, this is likely to be a date in early September. However, some providers may deliver provision on an ongoing basis throughout the summer.

Once you have the first date of attendance for each learner, work out the date of day 42 (or day 14 if this reflects the learner's qualifying period for funding). Then, work out how many days this date is from 1 August inclusive.

⁸⁰ Paragraphs 43 to 45 of the *Funding guidance for young people 2020 to 2021: Funding rates and formula*.

⁸¹ Annex C, paragraph 13 (Q14) of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

Check whether this value is greater than the figure in the report field *Programme actual duration days in year* (which measures the number of days that the learner was in learning in the funding year from 1 August). If it is, the provider should have adjusted the planned hours to reflect the actual hours delivered in this funding year. Check whether this is the case.

Where the provider has not adjusted the planned hours, it will need to correct the ILR accordingly.

Example

A learner returns to college for their first date of attendance on 5 September. This means that day 42 of the learner's continuing programme from the first date of attendance will be 16 October. However, 16 October is day 77 of the funding year (i.e. from 1 August).

This means that day 77 of the funding year marks the end of the first six weeks of their continuing programme from the first day of attendance in the funding year.

Assume that in this example, the learner withdrew from their programme on 4 October and so the learner's *Programme actual duration days in year* are 65. This means that the learner withdrew on day 65 of the funding year.

Consequently, the learner withdrew before they had been in learning for six weeks (77 (notional qualifying day in second year) > 65 (actual withdrawal day in second year)) and, hence, the provider must adjust the planned hours in the ILR to reflect the actual hours delivered.

[Back to contents page](#)

21Y-211: Learning aims delivered in one day

Identifies learners enrolled on learning aims delivered in one day.

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

For records on this report, the provider may have input an incorrect *Learning start date* and/or *Learning actual end date*.

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

Check for learning aims with *Completion status* = 3. Where the learner withdrew, the provider should have amended the planned hours to include only those actually delivered for these learning aims.

Check for learning aims with *Completion status* = 2 and *Outcome* = 3 as these impact on retention. Where learners are recorded as having completed the learning aim in one day, check that there is evidence to support this. In the absence of such evidence, the provider must correct the ILR accordingly.

[Back to contents page](#)

21Y-212: Learner numbers by funding band and by planned duration in weeks

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

This report helps to identify where planned hours recorded in the ILR may be harder to evidence as "realistic and deliverable"⁸².

It is reasonable to expect that, in general, the shorter the planned duration of the study programme, the lower the band and the associated planned hours. Check for higher volumes of learners in the areas of the table that reflect potentially more unrealistic and/or undeliverable study programmes. These will be predominantly towards the top and to the left of the table.

For example, learners with a band 5 study programme (> 540 hours) and a planned duration shorter than 16 weeks will be exceeding an average of 35 weekly planned hours, as per report 21Y-202 (Learners with high weekly study hours).

Where there is a disproportionately high volume of learners in this area of the table, ask the provider to demonstrate that such study programmes are realistic and deliverable, supported by evidence that the eligible activity offered to learners is timetabled and exists⁸³. You can use report 21Y-101 (All 16 to 19 funding model learners and learning aims) as necessary to identify the learners affected, by filtering on *16 to 19 funding band* and *Number of planned weeks in year (programme)*.

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

[Back to contents page](#)

⁸² Paragraphs 13e and 116 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

⁸³ Paragraph 116 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

21Y-213: Learners in learning beyond their learning planned end date

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

This report identifies those learners that, for any of their learning aims, have passed the learning planned end date by at least 30 days and, as such, should have completed these learning aims.

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

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

Filter the *Learning planned end date* on “is less than or equal to” and choose a date for which it is reasonable to expect that most learners should have completed (you could use 31/07/2020 although the further into the 2020 to 2021 funding year the review is, the more recent the date that you could reasonably use). Where the numbers of learners with learning planned end dates prior to this date are significant, this could be due to the quality of the provider’s initial assessment process, and you may need to report the issue to the ESFA territorial team.

It may be due to the provider’s process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data⁸⁴.

[Back to contents page](#)

21Y-214: Early completions

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

This report may be more indicative of possible issues with the provider’s process rather than returning definitive errors.

⁸⁴ Data Management Principles, Section 3, *Provider Support Manual for 2020 to 2021*.

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

The report contains the following calculated fields:

- *Actual duration days*

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

- *Percent complete*

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

- *Days early*

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

Where the provider records learners as completing early, check that the learners actually completed the programme and did not withdraw. In particular, for non-achievements (*Outcome* = 3), check that learners have actually completed all of the learning activity leading to the learning aim, as most such learners are unlikely not to go on to achieve.

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

[Back to contents page](#)

21Y-215: Completions without a full achievement

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

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

Ask the provider to update these as appropriate, especially where learners completed some time ago, where it is reasonable to expect that the provider should know the

learning outcome. There should not be significant volumes of unknown outcome information (*Outcome = 8*).

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data⁸⁵.

[Back to contents page](#)

21Y-216: Traineeships with incorrect or no work placement aims

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

A traineeship must include a work placement. There is a single learning aim reference number, ZWRKX001, that the provider must use to report work placements within a traineeship in the ILR⁸⁶.

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

Note that where a learner leaves the traineeship programme before starting a planned work placement, the provider must remove the work placement from the ILR and assign another learning aim as the core aim, recorded as withdrawn⁸⁷.

[Back to contents page](#)

21Y-217: Traineeship enrolments where previous learning indicates unsuitability or ineligibility

Funding rules monitoring plan: FRM19

Identifies learners participating on a traineeship programme during the 2020 to 2021 funding year where they have already been recorded in the ILR as having completed a

⁸⁵ Data Management Principles, Section 3, *Provider Support Manual for 2020 to 2021*.

⁸⁶ Section 7, Work experience, *Provider Support Manual for 2020 to 2021*.

⁸⁷ Section 7, Work experience, *Provider Support Manual for 2019 to 2020*.

traineeship programme, achieved an apprenticeship or achieved a full level 4 qualification or above (note, for starts prior to 1 August 2020, a full level 3 qualification or above).

The ESFA is monitoring traineeship programmes to ensure that there is no evidence that learners have sufficient work experience to enable them to enter and sustain employment, and also for learners that already hold a full level 4 or above when they enrol on the traineeship programme.

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

Due to the COVID-19 coronavirus pandemic, the DfE amended the framework for delivering traineeships to allow learners with an existing full level 3 qualification to enrol on a traineeship programme. This change took effect from 1 September 2020⁸⁸, although this report applies the change to traineeship starts from 1 August 2020, in order to be consistent with the adult education budget funding rules. For starts prior to this date, learners with existing full level 3 qualifications were unable to enrol on traineeship programmes.

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

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

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

Learners that already hold at least a full level 4 qualification (or at least a full level 3 qualification for starts prior to 1 August 2020) are ineligible for the traineeship programme, and the learning aims must be removed from the traineeship programme and set to non-funded or removed from the ILR completely.

[Back to contents page](#)

⁸⁸ Paragraphs 2 and 15 and Annex A of the *Traineeships: Framework for delivery, 1 September 2020 to 31 July 2021*.

21Y-301: Learners under 16

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

In respect of ESFA funding for colleges, if the learner is 15 but has started a full level 3 programme after their official school leaving date, this is acceptable without individual approval from the ESFA if they hold qualifications at least equivalent to a full level 2⁸⁹. If this is the case, there is nothing to raise with the provider.

The report could contain learners aged 14 to 16 and flagged as electively home educated, using the code value of 321 in the related learning delivery FAM type *LDM (Learning delivery monitoring)*. Check whether there are any such learners recorded as full-time (i.e. *16 to 19 funding band* = “540+ hours (Band 5)”). Should there be more than the odd, individual learner, refer the matter to the ESFA’s Funding Eligibility (16 to 19) Manager for advice.

Providers must be able to demonstrate that such learners are electively home educated if requested.

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

[Back to contents page](#)

21Y-302: Learner difficulty/disability inconsistency

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

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

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

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

⁸⁹ Paragraph 53 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

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

[Back to contents page](#)

21Y-303: Non-English postcodes

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

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

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

The ESFA expects some local areas within Scotland and Wales to form part of providers' normal recruitment areas and ESFA territorial offices will agree these with providers. Check that the ESFA and the provider have reached such an agreement for learners on this report.

Learners living in the Isle of Man or the Channel Islands are ineligible for funding⁹⁰.

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

[Back to contents page](#)

21Y-304: Generic postcodes

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

⁹⁰ Paragraph 73 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

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

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

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

[Back to contents page](#)

21Y-305: All OfS funded learners

Identifies all learners with learning aims funded by Office for Students (OfS) funding and lists them together with any learning aims for which they are being funded within the 16 to 19 funding model.

Learners undertaking full-time HE programmes are ineligible for ESFA funded 16 to 19 provision⁹¹. In addition, the ESFA does not fund FE qualifications or other programmes for groups of HE students⁹².

Focus on learners with multiple learning aims, some of which are funded by the OfS (*Source of funding* = 1) and others of which are funded by the ESFA (*Source of funding* = 105 or 107)). Check whether they are eligible for the ESFA funded provision listed.

[Back to contents page](#)

⁹¹ Paragraph 70 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

⁹² Paragraph 63 of the *Funding guidance for young people 2020 to 2021: Funding regulations*.

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

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

Note that some report options are available for any two ILRs, irrespective of provider. Where this is the case, it is advisable to have a clearly defined objective when comparing ILRs for two different providers.

21X-001: Funding reconciliation

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

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

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

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

- *21X-001-01: Learners added to ILR*
- *21X-001-02: Learners removed from ILR*
- *21X-001-03: Learning aims added to ILR for existing learners*
- *21X-001-04: Learning aims removed from ILR for existing learners*
- *21X-001-05: Achievements added to the ILR (FM35)*
Total value of achievement payments (and accompanying balancing payments) and on programme payments only.
- *21X-001-06: Completions added to the ILR (FM36)*
Total value of FM36 apprenticeship completion payments only.
- *21X-001-07: Withdrawals added to the ILR (All adult)*

- *21X-001-08: Other changes affecting programme funding (All adult)*
Total value of on programme payments, balancing payments, achievement payments, core Government contributions, FM36 apprenticeship instalments and FM36 apprenticeship uplifts only.
- *21X-001-09: Changes to additional payments (FM36)*
Total value of FM36 additional payments only.
- *21X-001-10: Changes to incentive payments (FM81)*
Total value of 16- to 18-year-old apprentice incentive payments, small employer incentive payment and completion incentive payments only.
- *21X-001-11: Changes to job outcome payments (FM35)*
Total value of employment outcome payments only.
- *21X-001-12: Increases in learning support funding (All adult)*
Total value of learning support payments only.
- *21X-001-13: Reductions in learning support funding (All adult)*
Total value of learning support payments only.
- *21X-001-14: Movements in employer types (FM36)*
- *21X-001-15: Withdrawals added to the ILR (FM25)*
- *21X-001-16: Increases in funding due to changes in planned hours (FM25)*
- *21X-001-17: Reductions in funding due to changes in planned hours (FM25)*
- *21X-001-18: Other changes affecting funding (FM25)*
- *21X-001-19: Movements between funding models*

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

[Back to contents page](#)

21X-002: Changes to data and funding between ILRs

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

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

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

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

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

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

[Back to contents page](#)

21X-003: Continuance between ILRs

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

This report option is available for any two ILRs, irrespective of provider and funding year.

This report seeks to identify instances of continuance in learners and learning aims between two ILRs by matching equivalent records, and identifying those learners and learning aims that have no match in the other ILR. Within a funding year, the general expectation is that the ILR will grow, with the addition of new learners and learning aims over time. Moreover, learners reported as continuing in the final ILR of a funding year must appear in the following year's ILR, subject to specific exceptions⁹³.

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

⁹³ Appendix B (including annex 1) migration specification, *Specification of the Individualised Learner Record for 2020 to 2021*.

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

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

- *21X-003-01: Learners in first ILR that do not appear in second ILR, together with all their learning aims*
This report lists all learners removed from the ILR, enabling follow-up with the provider to ascertain the reasons. This report can be useful in considering the completeness of the ILR.
- *21X-003-02: Learners in second ILR that do not appear in first ILR, together with all their learning aims*
Providers will routinely add learners and learning aims to the ILR. According to data management principles relating to timeliness, providers must record new starts in the ILR within two reporting months of their learning start date⁹⁴. This report lists all learners added to the ILR, enabling follow-up with the provider to ascertain the reasons for any late notified starts.
- *21X-003-03: Learning aims in first ILR that do not appear in second ILR for learners appearing in both ILRs*
For learners that appear in both ILRs, this report lists all learning aims removed from the ILR, enabling follow-up with the provider to ascertain the reasons. This report can be useful in considering the completeness of the ILR.
- *21X-003-04: Learning aims in second ILR that do not appear in first ILR for learners appearing in both ILRs*
Providers will routinely add learning aims to the ILR. According to data management principles relating to timeliness, providers must record new starts in the ILR within two reporting months of their learning start date⁹⁵. This report lists all learning aims added to the ILR, enabling follow-up with the provider to ascertain the reasons for any late notified starts.
- *21X-003-05: All matched learners and learning aims*
This report lists all learners and learning aims matched between the two ILRs. Every other pair of matching records is shaded to ease identification of such records. The report identifies any fields containing values that change between the two ILRs using a reddish coloured cell. Use this report, for example, to identify changes to a learner's record or groups of learners with changes to specific fields.

⁹⁴ Section 3, "When do I send data to the ESFA?", *Provider Support Manual for 2020 to 2021*.

⁹⁵ Section 3, "When do I send data to the ESFA?", *Provider Support Manual for 2020 to 2021*.

21X-004: Changes to learning planned end dates between funding years

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

This report option is available for two ILRs relating to different funding years, irrespective of provider.

Providers must not amend the *Learning planned end date* once it is set unless it is found to be incorrect due to an administrative error⁹⁶. Moreover, once the *Learning planned end date* is set within the R14 hard close, providers must not change it in the following year's ILR. For learners continuing into a subsequent funding year, providers can correct a significantly incorrect *Learning planned end date* only by withdrawing and restarting the learning aim with the corrected details⁹⁷. This applies only to correcting data found to be incorrect due to administrative error and not for changes in circumstances such as illness, slow progress or unemployment.

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

Note that where a number of other values are different, such as *Learning start date*, it could be that they are weak matches and do not necessarily relate to the same learning activity. However, such records may still provide useful information for investigation.

21X-005: Changes to learning actual end dates between funding years

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

⁹⁶ Section 5, Correcting errors and Section 5, Recording changes to a learner's programme or learning aim, *Provider Support Manual for 2020 to 2021*.

⁹⁷ Section 5, Correcting errors, *Provider Support Manual for 2020 to 2021*.

This report option is available for two ILRs relating to different funding years, irrespective of provider.

Where the *Learning actual end date* is set within the previous year's R14 hard close and the provider continues to return the learning aim in the current year's ILR, it must not change the *Learning actual end date*⁹⁸. Where a learner undertakes a learning aim, finishes learning, takes the final assessment and fails, the provider must close the learning aim and record it as not achieved (*Outcome* = 3). Should the learner subsequently require further support or additional learning to pass the assessment, this will require a new learning aim to be recorded as a restart with a *Funding adjustment for prior learning* to account for the new learning required to pass the resit. The provider must not amend the originally closed learning aim.

This report lists all instances where learning aims' *Learning actual end date* differ between two ILRs. Ascertain whether this is due to the provider changing values and the reasons for such changes. If there is no justification for the change, the provider must amend the data back to the original value. If the new value is in the current funding year and is justified, the provider will still need to correctly process the change⁹⁹ to ensure the correct impact on funding and other statistics such as achievement rates.

Note that where a number of other values are different, such as *Learning start date*, it could be that they are weak matches and do not necessarily relate to the same learning activity. However, such records may still provide useful information for investigation.

[Back to contents page](#)

21X-006: Continuing learners that do not appear in the following year's ILR

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

This report option is available for two ILRs relating to different funding years, irrespective of provider.

Learning aims recorded in the previous year's final R14 ILR as continuing must be included in the subsequent year's ILR (subject to minor exceptions¹⁰⁰). Where providers omit continuing learning aims from a subsequent year's ILR, the ESFA will treat the

⁹⁸ Section 5, Correcting errors, *Provider Support Manual for 2020 to 2021*.

⁹⁹ Section 5, Correcting errors, *Provider Support Manual for 2020 to 2021*.

¹⁰⁰ Appendix B (including annex 1) migration specification, *Specification of the Individualised Learner Record for 2020 to 2021*.

learning aims as withdrawn in the qualification achievement rates (QAR). It may also result in an under-claim of funding.

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

[Back to contents page](#)

21X-007: Transfers from learning aims where there is no subsequent transferred on learning aim

Identifies learning aims that appear in the ILR in one funding year as transferred off but for which there is no record of the learner transferring onto another learning aim within three months in either the same ILR or the ILR for the subsequent funding year.

This report option is available for two ILRs relating to different funding years, irrespective of provider.

Completion status = 3 and Withdrawal reason = 40 means that the learner has withdrawn from the learning aim and at the same time has transferred to a new learning aim. The learning start date of the new learning aim may be slightly later than the learning actual end date of the ‘transferred off’ learning aim¹⁰¹. This report checks whether there is a ‘transferred on’ learning aim that starts within three months of the learning actual end date of the ‘transferred off’ learning aim.

Where a learning aim recorded as ‘transferred off’ has no such corresponding ‘transferred on’ learning aim, the provider must be able to demonstrate that a transfer has taken place and it may need to add the respective ‘transferred on’ learning aim to the ILR. Alternatively, where there is no such ‘transferred on’ learning aim, it will need to correct the current year ILR by removing the value *Withdrawal reason = 40* from the related learning aim.

[Back to contents page](#)

21X-008: Changes to funding model between years

Identifies learning aims that appear in the ILR in one funding year as non-funded but appear in the ILR for a subsequent funding year as funded.

¹⁰¹ Section 5, Recording breaks in learning, transfers and restarts, *Provider Support Manual for 2020 to 2021*.

This report option is available for two ILRs relating to different funding years, irrespective of provider.

Providers should not amend a learning aim's *Funding model* without keeping a record of the reason for the change¹⁰². A learner's eligibility for funding will not normally change during their programme or learning aim.

Where a provider changes a learning aim's funding model, establish whether there is a valid reason for the change and, if there is not, the provider must revert the learning aim back to non-funded. Where there is good reason, the provider must administer the change in the ILR as a transfer¹⁰³, rather than simply changing the *Funding model* value.

[Back to contents page](#)

21X-009: Reopened aims after a break in learning

Identifies learning aims that appear in one ILR as a break in learning and appear as reopened in a subsequent ILR, with the break in learning removed.

This report option is available for any two ILRs, irrespective of provider and funding year.

Where a learner returns from a break in learning, the provider must plan its delivery of the remaining learning activity. This will require the creation of new learning activity records in the ILR. The provider must not simply reopen the original learning aim¹⁰⁴.

Should this report contain any such reopened learning aims, the provider will need to correct the ILR by changing the original learning aim back to a break in learning and adding new learning aims to reflect the aims that have restarted following the learner's return from the break in learning.

[Back to contents page](#)

¹⁰² Section 3, Data Management Principles, *Provider Support Manual for 2020 to 2021*.

¹⁰³ Section 5, Correcting errors, *Provider Support Manual for 2020 to 2021*.

¹⁰⁴ Section 5, Recording breaks in learning, transfers and restarts, *Provider Support Manual for 2020 to 2021*.

21X-010: Learning actual end dates that relate to prior funding years but returned in subsequent years' ILRs

Funding rules monitoring plan: FRM27

Identifies adult and apprenticeship learning aims that appear in the ILR in one funding year as continuing but appear in the ILR for the subsequent funding year as withdrawn, with a learning actual end date that relates to a previous year.

This report option is available for two ILRs relating to different funding years, irrespective of provider.

The ESFA is monitoring learners reported as continuing in the final ILR for the previous year that are reported as withdrawing on or before 31 July of the previous funding year in the ILR for the current funding year.

This report identifies such learning aims in the subsequent funding year, together with the potential value of any over-claimed funding in the previous funding year, based on the late notified *Learning actual end date*. These are funds at risk and could be liable to recovery.

[Back to contents page](#)

21X-011: Study programme end dates that relate to prior funding years but returned in subsequent years' ILRs

Funding rules monitoring plan: FRM27

Identifies 16 to 19 study programmes that appear in the ILR in one funding year as continuing but appear in the ILR for the subsequent funding year as withdrawn, with a learning actual end date that relates to a previous year.

This report option is available for two ILRs relating to different funding years, irrespective of provider.

The ESFA is monitoring learners reported as continuing in the final ILR for the previous year that are reported as withdrawing on or before 31 July of the previous funding year in the ILR for the current funding year.

This report identifies learners on 16 to 19 study programmes that are on such learning aims in the subsequent funding year, together with the potential value of any over-claimed funding in the previous funding year, based on the late notified *Learning actual end date*. These are funds at risk and could be liable to recovery.

[Back to contents page](#)

21X-012: Learners that withdraw from 16 to 19 learning aims with no adjustment to planned hours

Identifies learners that appear in the first ILR on continuing learning aims and appear in the second ILR as having withdrawn from any of these learning aims within the first six weeks of a 16 to 19 study programme, and where the planned hours remain unchanged between the two ILR returns.

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

Where a learner that has satisfied their qualifying period for funding withdraws from any learning aims within the first six weeks of a 16 to 19 study programme, the provider must update the annual planned hours to remove all of the hours within the funding year for these learning aims, except for any hours actually delivered within the first six weeks. Failure to do this could result in the overstatement of planned hours which may mean that a learner is banded incorrectly and, therefore, funded at the wrong funding rate.

For each learner listed, ask the provider to adjust the ILR as described above to account for the learning aims from which the learner withdrew within the first six weeks.

[Back to contents page](#)

21X-013: Achievements and completions in prior funding years amended in subsequent years' ILRs

New for 2020/21

Identifies apprenticeship programmes and adult and apprenticeship learning aims that appear in the ILR in one funding year as completed or achieved but appear in the ILR for the subsequent funding year with the completion or achievement amended or removed

This report option is available for two ILRs relating to different funding years, irrespective of provider.

Where an apprenticeship completion or a learning aim achievement is returned in a prior funding year for which the ILR is closed and is then amended or removed in a subsequent year, it is possible that there may be a resulting over-claim of funding. The ESFA may pursue repayment of any such over-claims.

Where the records in the prior funding year were accurate and supported by evidence, and the provider has inadvertently made the amendments, it should reinstate the original record.

[Back to contents page](#)

Learner viewer: Funding breakdown

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

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

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

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

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

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

Using the data amendment information in report 21X-002 or 21X-003-05 and the funding information displayed in the *Learner viewer*, you can calculate the impact on funding of the various data amendments and ascertain the change in funding value resulting from any specific data amendment. Clearly, this requires some knowledge of the respective funding methodologies of different ESFA funded programmes.

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

[Back to contents page](#)

Changes to PDSAT from 2019 to 2020

For 2020 to 2021, we have added the following new reports:

- *21B-006: Learners enrolled concurrently on multiple English and/or maths learning aims*
- *21B-007: Learners progressing to apprenticeships from 16 to 19 study programmes*
- *21A-216: Planned off-the-job training hours*
- *21A-217: Actual off-the-job training hours compared to those planned*
- *21A-218: Apprenticeship completions*
- *21Y-102: All learners and learning aims within the T Level programme*
- *21X-013: Achievements and completions in prior funding years amended in subsequent years' ILRs*

For 2020 to 2021, we have amended the following reports from 2019 to 2020:

- *21Y-101: All 16 to 19 funding model learners and learning aims*

Previously included all provision within funding model 25. Now includes all provision within funding model 25 except for learning aims within T Level programmes. These are listed in a new report, 21Y-102.

We have not carried forward the following reports from 2019 to 2020:

- *20A-407: Subcontracted provision funded by an Advanced Learner Loan*

Now addressed using 21A-104 listing report.

During 2020 to 2021, we have turned off the following report:

- *21Y-103: Planned hours split by qualification hours and non-qualification hours*

We have incorporated the fields specific to this report and the associated review notes into the 21Y-101 listing report.

Document history

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