Skills Funding Agency

Provider Data Self-Assessment Toolkit (PDSAT) Version 16 (2015 to 2016 Funding Year)

REVIEWING PDSAT REPORTS

User Guide

Version 2.00 (February 2016)

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1. Introduction

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

This guide is to assist SFA colleagues, particularly PFMA auditors, and other PDSAT users in performing detailed data review of the suite of PDSAT reports used in assurance reviews of colleges and training organisations. Section 5 lists the PDSAT reports together with a description of each report's purpose and techniques for review of each report.

This guide relates to PDSAT v16, which is for use with ILR data for the funding year 2015 to 2016, referred to in this guide as "2015/16".

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

2. Individualised Learner Record (ILR)

This guide assumes that anyone reviewing PDSAT reports has a good working knowledge of the ILR, including field names and labels and the range of possible values, their meanings and their impact on funding.

For a full description of each ILR field, values and guidance, refer to the *Specification of the Individualised Learner Record for 2015 to 2016*, found at https://www.gov.uk/government/publications/ilr-specification-validation-rules-and-appendices-2015-to-2016.

3. Using Excel

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

4. Key messages

4.1 Funding monitoring

Part of the SFA's assurance work involves monitoring providers' ILR data. You can find the *Financial Assurance: Monitoring the Funding Rules 2015 to 2016* monitoring plan at https://www.gov.uk/government/publications/sfa-financial-assurance-monitoring-the-funding-rules. The plan lists the areas that we are monitoring during 2015/16.

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

Each monitoring area in the plan is numbered and in the review notes in section 5 below, we have:

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

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

4.2 Input files

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

PDSAT does not incorporate a funding calculator and so no funding values are included in PDSAT report output where an ILR XML file is input. Instead, report records contain an indicator as to whether learning aims are potentially funded.

Despite the funding limitation, an ILR XML input is useful where you do not have FIS available or you are unable to create a FIS export database. The reports that are output should contain the same records as they would with a FIS export database, assuming that you have used a valid ILR XML file.

We have used the label ~~*XML*~~ in the review notes in section 5 below for reports that PDSAT cannot run with an ILR XML input. The reason for this is that the reports depend on funding values calculated during the creation of a FIS export database. All reports will run with a FIS export database input.

4.3 Report groupings

We have grouped the PDSAT reports according to the funding models relevant to the report output. They are:

- SFA Reports (16S- prefix): PDSAT interrogates and outputs ILR records predominantly relating to learners and learning aims within funding model 35 (Adult Skills Budget funding methodology). A small number of reports output records relating to funding models 70 (ESF funded), 81 (Other SFA funding) and 99 (No SFA or EFA funding). These are all SFA funded (except output relating to funding model 99, where learners are financed by a 24+ Advanced Learning Loan).
  We have labelled reports that are not exclusively funding model 35 in the review notes in section 5 below, using ***FM35*** ***FM70*** ***FM81*** and ***FM99***.
- EFA Reports (16E- prefix): PDSAT interrogates and outputs ILR records relating to learners and learning aims only within funding model 25 (16-19 EFA funding methodology). These are usually EFA funded but there are exceptions, such as SFA funded 16-18 traineeships where the provider does not have a contract with the EFA.
- Joint Reports (16B- prefix): PDSAT interrogates and outputs ILR records that are not funding model dependent.

As well as the prefix, we have numbered the reports using a three-digit suffix in increments of 10. Where there are any sequential gaps, this is because either we have dropped a report from PDSAT v15 or we have initially specified a report that we have subsequently excluded from the output but retained the placeholder.

In respect of SFA and EFA reports, we use the same three-digit suffix where the report purpose is common to both funding methodologies.

4.4 Report layout

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

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

4.5 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, start each report by filtering out all records outside the funding lines that form the basis of the assurance review.

For example, you can filter out records relating to OLASS provision when undertaking a review of adult skills budget and 16 to 18 apprenticeship provision.

4.6 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, we recommend that you simply run all reports.

You can find the suite of working papers used by PFMA during assurance reviews on the SFA pages of the GOV.UK website at https://www.gov.uk/government/collections/sfa-financial-assurance-demonstrating-appropriate-use-of-funds. The C1 working paper lists all the reports that PFMA reviews as part of the assurance review process. However, it is best to run all PDSAT reports because some of them are listing reports that identify sub-populations of learners and aims that meet specific criteria. These can be useful during assurance reviews where we identify funding errors that require 100% testing of a specific group of learners with the same characteristics.

4.7 Materiality

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

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

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

4.8 Testing

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

Where PDSAT reports identify data anomalies that may result in funding errors, and can be confirmed or cleared only by learner file review, start by selecting a small sample. In doing so, consider whether or not there are any files in the main substantive sample that can be used, thus reducing the extent to which additional samples need to be selected. However, ensure that you carry out sufficient testing of each area of concern to either clear or confirm any potential errors. ***Where you confirm errors, you must ensure that all records on the PDSAT report are checked, using the specific PDSAT reports as the population. Ask the provider to carry out a 100% self-audit of the specific population or, if practicable, test them yourself.***

4.9 Recording review outcomes

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

4.10 New features

PDSAT v16 contains the following new features:

- Zero record reports: You can set PDSAT to output only those reports that contain any records.
- Split reports by subcontractor/partner UKPRN: You can set PDSAT to output only those reports that contain records relating to specific subcontractors. Users can preselect the partner UKPRN value(s) for which they want to run PDSAT reports.

Access each of these features using the *Reports Control* tab.

4.11 Terminology

The EFA refers to learners as "students" and to providers as "institutions". However, to maintain consistency in this document, we use the terms "learners" and "providers" throughout.

5. PDSAT report review notes

References to the SFA's *Funding Rules 2015 to 2016* relate to version 2 and its addenda, available on the SFA pages of the GOV.UK website (https://www.gov.uk/government/publications/sfa-funding-rules-2015-to-2016).

References to the EFA's *Funding guidance for young people 2015 to 2016: Funding regulations* relate to the March 2015 release, available on the EFA pages of the GOV.UK website (https://www.gov.uk/government/publications/advice-funding-regulations-for-post-16-provision)

References to the *Specification of the Individualised Learner Record for 2015 to 2016* relate to version 4, released in November 2015 (https://www.gov.uk/government/publications/ilr-specification-validation-rules-and-appendices-2015-to-2016).

5.1 Joint reports

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

16B-010: Report logic by report

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

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

16B-040: FIS reported data errors/warnings reports

~~XML~~

Lists all problems encountered by the FIS during its data processing.

With respect to ILR validation errors and warnings, the FIS export database contains only the names of the validation rules breached by ILR records and an error message string. You can only find full details of the errors/warnings by referring either to the ILR validation rules or to the rule violation report created following upload of the ILR to the Hub. As a result, this PDSAT report is less helpful than in previous years. However, it can still indicate poor data management in specific areas and you can use it to gauge the types of rule violations in the ILR. Consider whether the extent of any errors indicates that you should not use the ILR for the purposes of an assurance review.

Full details of the ILR Validation Rules are on the GOV.UK website at the following link:

https://www.gov.uk/government/publications/ilr-specification-validation-rules-and-appendices-2015-to-2016.

16B-050: Possible duplicate learners

Lists all instances where the same learner details appear for more than one learner record in the provider's data return.

PDSAT compares the values of Family name, Date of birth, Gender, Postcode prior to enrolment, National insurance number and Unique learner number and categorises learners by Type (see column M) depending on the combination of matching values. The different match types are:

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

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

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

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

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

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

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

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

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

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

This report could identify learners for which the provider has allocated two or more learner reference numbers, which should be avoided where possible. If it had to unavoidably allocate different learner reference numbers to the same learner (for example, due to a change in MIS), it may be that the provider has, or should have, recorded the value used in the previous year in the ILR field *Learner reference number in previous year*. You should check why the provider used different learner reference numbers and instruct the provider to use the *Learner reference number in previous year* field if applicable[1].

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.

[1] See page 29, *Specification of the Individualised Learner Record for 2015 to 2016*, for details of how to use the *Learner reference number in previous year* ILR field.

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

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

For Type 8 duplicates, where the provider has used the same ULN for more than one learner, it must correct them. This report can also identify learners with only one ULN but two distinct learner reference numbers. Providers should not allocate more than one learner reference number to the same learner in year and should avoid changing it across years, unless it is unavoidable, such as a change to the provider's MIS. Instruct the provider to use the *Learner reference number in previous year* field if applicable[2].

16B-060: Possible duplicate or overlapping learning aims

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

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

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

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

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

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

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

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

Groups of records that relate to potentially duplicated or overlapping learning aims may not be adjacent. The date of birth is common to all reported records so find each

[2] See page 29, *Specification of the Individualised Learner Record for 2015 to 2016*, for details of how to use the *Learner reference number in previous year* ILR field.

group of records with the same date of birth and check whether any remedial action appears necessary.

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

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

When selecting samples, you may wish to group learners by aim and select a learner from each group. However, ensure coverage of all Type 1 and Type 2 and, depending on volume, all or a sample from Types 3, 4, 5 and 6. Where you have identified a significant number of learners that appear to be twins, include all or some of them in your sample.

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

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

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

5.2 SFA reports

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

16S-090: Apprentices and trainees with co-funding

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

The SFA fully funds all apprentices aged 16 to 18 when they start and all apprentices aged 19 to 24 when they start if they have an LDA or an EHCP. In addition, the SFA fully funds all trainees.

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

MP2 *16S-100: 19+ apprentices with full funding claimed*

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

The SFA is monitoring fully funded adult apprenticeships to confirm that:

- enhanced funding applies; or
- the apprentice is subject to an LDA or EHCP; or
- the apprentice started when they were 16 to 18, took a break in learning and returned to the same apprenticeship framework after they had turned 19.

These are the only reasons for fully funding an adult apprentice. Exclude apprentices that meet these criteria from the report output by applying all of the following filters:

- *Eligibility for enhanced apprenticeship funding* is blank; and
- *Learning difficulty assessment* is blank; and
- *Education Health Care Plan* is blank.

There should be no reason to apply a filter to the *Age at start of programme* field as the query already excludes apprentices aged 18 and under at the start of the programme.

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 one of the three fields listed above, the learner's date of birth or the original learning start date of the apprenticeship programme.

Co-funding applies to all apprentices aged 24 and over when they start so any such learners listed are likely to be funding errors.

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

Where the learner does not qualify for full funding, the provider must change the Code value relating to the ILR Learning Delivery Funding and Monitoring (FAM) Type *FFI (Full or co-funding indicator)* to 2 (co-funding). This includes instances of learners returning to learning having previously withdrawn, where there is no evidence of an intention to return when the learning was suspended [3].

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

MP6 *16S-110: 19+ learners with enhanced funding*

Lists learners aged 19 or over when they started for whom the provider is claiming entitlement to enhanced apprenticeship funding.

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.

[3] Paragraph 243 of the *Funding Rules 2015 to 2016*

The SFA is monitoring adult apprenticeships with enhanced funding to confirm that:

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

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

- *Learning aim reference* = "ZPROG001"; and
- *Restart indicator* is blank; and
- *Learning difficulty assessment* is blank; and
- *Education Health Care Plan* is blank.

Any records that remain are likely to contain data errors and over-claims of funding. Only in exceptional circumstances will the data and funding be correct. Note that remaining records will be programme aims only but data errors could be at learning aim level and over-claims of funding will be. Flag the respective programme aims accordingly so that when you remove the filter, you can still identify the learners affected.

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

In addition to the use of this report in addressing the monitoring plan, auditors may use this report to check evidence held to support claims for enhanced funding for adult apprentices including evidence of learners' intention to return following breaks in learning.

16S-130: 16 to 18 apprenticeships minimum duration exceptions

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

Apprenticeships for learners aged 16 to 18 must have a minimum planned delivery duration of at least a year otherwise they are not eligible for funding[5]. For ILR purposes, the *Learning planned end date* must be on or after the anniversary of the *Learning start date*.

The exception to this is where the learner is a restart or a transfer between providers, in which case the total amount of time spent on the programme must be at least the minimum duration.

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

[4] Paragraph 243 of the *Funding Rules 2015 to 2016*
[5] Paragraph 296 of the *Funding Rules 2015 to 2016*

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

Use the programme aim to gain an overview of each learner's programme by filtering on *Learning aim reference* = "ZPROG001" (column L). Columns W and X contain the overall planned and actual duration respectively.

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

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

MP1 16S-140: 19+ apprenticeships minimum duration exceptions

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

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

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

- *Learning aim reference* = "ZPROG001"; and

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

Apprenticeships for learners aged 19 and over on the day they start must have a minimum planned delivery duration of at least a year unless the provider is not delivering all the elements of the apprenticeship framework due to the recognition of prior learning or previously certificated achievement[6]. Even with this exception, the duration must be at least six months[7]. Otherwise, they are not eligible for funding.

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

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

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

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

Check that the *Learning planned end date* has been correctly input based on the information in the learning agreement. Where the provider has correctly input the

[6] Paragraph 291 of the *Funding Rules 2015 to 2016*
[7] Paragraph 296 of the *Funding Rules 2015 to 2016*

Learning planned end date and the apprenticeship does not meet minimum duration requirements, the provider must take corrective action accordingly.

Check whether any element of the framework either has a funding reduction for prior learning applied or is not being delivered at all. In some cases, it will be easy to spot apprenticeship programmes where the provider is not delivering all elements of the framework, for example, where it contains no English or maths learning aim. However, where you are unfamiliar with the mandatory aims of a particular framework, you can find details by searching on the apprenticeship frameworks online website (http://www.afo.sscalliance.org/frameworkslibrary).

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

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

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

16S-190: Learning aims where the annual funding cap has been applied

~~XML~~

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

A funding cap applies to each learner and it applies across all adult skills budget provision except apprenticeships. The funding cap is £4,400 per learner per year, before any weightings or government contribution calculations are applied[8].

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

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

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

16S-200: Retention

Lists learning aims and the number of funded learners that have not withdrawn as a proportion of the number of funded starts. The report does not count learning aims with a learning actual end date prior to 1st August 2015.

[8] Paragraph 75 of the *Funding rates and formula 2015 to 2016*

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

Identify learning aims with high retention rates and use report 16S-450 to identify the learners on these learning aims. Use learner files or registers to check that that all learners appear in the ILR.

16S-240: Withdrawals and qualifying days for funding

Lists learners and their learning aims where the learner withdraws from the learning aim close to the qualifying date for funded learning[9].

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* (column U). The provider can only claim funding if the learner participated in learning activity on that date and the provider must have evidence to support this. If the learner enrolled on the learning aim but failed to participate in any learning activity, the provider must delete the learning aim from the ILR.

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

To do this, filter on *Actual duration days between 14 and 28* and *Actual duration days between 42 and 56* respectively.

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.

MP3
MP9

16S-250: 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, apprentices in learning had reached or passed their planned end date and other learners, either in learning or withdrawn, had reached or passed their planned end date.

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

The SFA is monitoring the following groups of learners:

- Apprentices that are still in learning more than 300 days after their programme learning planned end date.
- Learners (other than apprentices) that left without achievement or that are still in learning, more than 100 days after their learning planned end date.

In such instances, there is a risk that providers are claiming funding too early or that they are not reporting learners leaving or completing learning on a timely basis.

For apprentices, identify those in learning more than 300 days after their programme planned end date by filtering on *Days in learning beyond programme planned end date*

[9] Paragraph 93 of the *Funding Rules 2015 to 2016*

(to ILR date) > 300. Ask the provider to check whether these learners are still in learning. It may be that they have achieved or withdrawn and the provider is yet to input the data. If they are still in learning, the provider must be able to evidence this if requested.

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

- *Programme type* not in (2, 3, 10, 20, 21, 22, 23)
- *Days in learning beyond learning planned end date (to ILR date if still in learning)* > 100; and
- *Learning actual end date* is blank.

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

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

- *Learning actual end date* is not blank.

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

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data[10].

16S-260: Learning actual end dates

Summarises by learning actual end date the number of learners leaving learning aims without achievement 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 any 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 16S-450 to identify specific examples and follow these up with the provider.

16S-270: 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.

[10] Section 5 of the *Provider Support Manual for 2015 to 2016*

Completion status = 3 and *Withdrawal reason = 40* means that the learner has withdrawn from the learning aim and at the same time has transferred to a new learning aim. The learning start date of the new learning aim may be slightly later than the learning actual end date of the 'transferred off' learning aim[11]. However, 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*.

16S-280: Resuming learners

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

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

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

Where a learner restarts, the *Funding adjustment for prior learning* value is based upon the percentage difference between the original planned duration and the proportion of that time that they have already been in learning[12].

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

16S-300: Early completions

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

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

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

The report contains three calculated fields:

- *Actual duration days* (column T)

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.

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[11] Paragraph 407 of the *Provider Support Manual for 2015 to 2016*
[12] Paragraph 294 of the *Provider Support Manual for 2015 to 2016*

- *Percent complete* (column U)

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* (column V)

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

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

For classroom learning in particular, learning planned end dates are often more likely to be based on a scheduled timetable of classes. Where the provider records learners as completing early, check that the learners actually completed the programme and did not withdraw. Check also that the provider is not using a standard planned end date for all learners, irrespective of the individual circumstances of each learner and learning aim.

16S-310: Completions with unknown outcomes

Lists learners and their learning aims where the learner has completed the learning aim but the outcome is unknown.

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

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

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data[13].

16S-320: Learners with prior attainment level recorded as not known FM35 FM70

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

This report identifies learners for whom *Prior attainment* is 97 or 98. The provider should be collecting information on prior learning during the enrolment or initial 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[14].

[13] Section 5 of the *Provider Support Manual for 2015 to 2016*
[14] Paragraphs 136.5 and 136.8 of the *Funding Rules 2015 to 2016*

If the provider's MIS still holds ILR data in the flat file format, rather than XML, it may be able to provide useful lists of all learning aims, for example, where it has claimed level 2 or 3 entitlement yet the prior attainment is 97 or 98.

16S-330: Generic postcodes

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

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

Follow up generic values for *Delivery location postcode* as these could result in an under-claim of area cost uplift. Note that a delivery location postcode of "ZZ99 9ZZ" signifies distance or e-learning.

16S-360: NI Numbers null, temporary or used for HMRC administrative purposes

FM35 **FM70** **FM81**

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

Providers should treat the *NI number* field on the ILR as compulsory for specific groups of learners[15]. These include apprentices, other workplace learners, 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.

See footnote 15 for a reference to details of what constitutes a valid entry for *NI number*.

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

You can find more information on these on the HMRC website at http://www.hmrc.gov.uk/manuals/nimmanual/nim39110.htm.

[15] Page 38, *Specification of the Individualised Learner Record for 2015 to 2016*

MP4 *16S-380: Employment status exceptions*

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

The SFA is monitoring apprentices' employment status records to check whether they are:

- self-employed; or
- in receipt of Jobseeker's Allowance (JSA), Employment and Support Allowance (work-related activity group) (ESA (WRAG)) or Universal Credit (and mandated to skills training); or
- working fewer than 16 hours per week.

Learners cannot be in one of the groups listed and participate in an apprenticeship programme (except where alternative completion conditions[16] apply to self-employed or unemployed learners). Providers can use this report to identify records that are likely to contain either data errors or over-claims of funding.

Identify learners in each of the groups above by applying each of the following filters in turn:

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

For each filtered list, any records that appear will contain either data errors or over-claims of funding. The exception is the filter on *Self employment indicator*, where you will need to check whether alternative completion conditions apply to each learner's occupation and framework[17] 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.

In addition to the use of this report in addressing the monitoring plan, you can also check for learners recorded as not in paid employment. You may have reviewed all or some of them whilst following the notes above. To identify the remaining records, apply all of the following filters:

- *Self employment indicator* ≠ 1; and
- *Benefit status indicator* not in (1, 2, 4); and
- *Employment intensity indicator* ≠ 2; and
- *Employment status* ≠ 10.

[16] Paragraph 275 of the *Funding Rules 2015 to 2016*
[17] Annex 2 of the *Funding Rules 2015 to 2016*

All apprentices (other than those subject to alternative completion conditions[18]) must be employed. Check any apprenticeships in the filtered list to see whether they are eligible for funding under alternative completion conditions.

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

16S-390: European Social Fund data for directly funded and match funding provision FM35 FM70

Lists 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 identifies learner and learning delivery records where the following ILR fields contain values indicating a response of not known or not provided:

- *Ethnicity* = 99 (Not provided)
- *LLDD and health problem* = 9 (No information provided by the learner)
- Learners whose *Employment status on their first day of 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 SFA is unlikely to be able to use the learner's funding as match.

The availability of this report is to encourage providers to check all records where data useful for ESF match funding purposes is missing and potentially follow up with learners to ascertain a more positive response.

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

16S-410: Employment outcome

Identifies learners for whom an employment outcome has been recorded and job outcome payment claimed but the relevant ILR fields are not correctly completed.

To qualify for a job outcome payment (recorded in the ILR using the *Employment outcome* field), a learner must satisfy certain criteria[19] 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.

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[18] Paragraph 263 of the *Funding Rules 2015 to 2016*
[19] Paragraph 232 of the *Funding Rules 2015 to 2016*

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

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

16S-420: Non-English postcodes

FM35 FM70 FM99

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

Individuals or very small groups of non-English individuals can travel to or reside in England to study or learn for specialist provision not available anywhere other than England. However, providers must have authorisation from the SFA before recruiting such learners[20].

For workplace learning, the SFA will fund non-English resident learners (usually those learners resident in Wales, Scotland or Northern Ireland) whose main employment and normal working premises are in England[21]. Where an employer, based in the UK, bases their training provision solely in England and this would include non-English residents, providers must have authorisation from the SFA to recruit these learners[22].

Learners ordinarily resident in the Isle of Man or the Channel Islands are ineligible for SFA funding, unless they are also ordinarily resident in England[23].

Use Postcode prior to enrolment *Region* (column I) and *Delivery location postcode region* (column AB) to determine whether learners are eligible for funding and whether the provider requires, and has evidence of, SFA authorisation.

16S-430: All HEFCE funded learners

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

The SFA does not expect systematic claims of FE funding for HE learners. Reconcile this report to the HE list in the “Prepared by Provider” document.

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

16S-440: Learning aims by delivery postcode

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

Grouped by Delivery location postcode and learning aim.

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[20] Paragraph 173 of the *Funding Rules 2015 to 2016*
[21] Paragraph 174 of the *Funding Rules 2015 to 2016*
[22] Paragraph 175 of the *Funding Rules 2015 to 2016*
[23] Paragraph 171.5 of the *Funding Rules 2015 to 2016*

Use this report to check at a summary level that delivery of workplace learning provision takes place in the workplace and not on providers' premises.

To review this report, you will need to know the postcodes of the provider's sites and those of its subcontractors so that you can filter on those details to check for the same values. Start by filtering *Workplace learning indicator = 1*.

Filter *Subcontracted or partnership UKPRN* is blank. Filter *Delivery location postcode* on each of the postcodes for the provider's own sites. Where there are significant numbers, you can use 16S-450 for a detailed listing.

Do the same for each of the provider's subcontractors (using each subcontractor's UKPRN and postcodes).

This report may also 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.

16S-450: All learners and learning aims

Lists all 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. Review of this report is not required but the report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

There are checks that providers can carry out using this report as part of their routine data cleansing. For example, referring to the rules on financial contributions, they can check whether they are claiming the correct funding level[24] for different groups of learners.

Below are some examples of the combinations of filters that can achieve this.

Apply the following filters to identify co-funded learners whose employment and benefit status indicates that they could qualify for full funding:

- *Fundline SFA* = "Classroom Learning"; and
- *Employment status at start* = 11 or 12; and
- *Benefit status indicator* = 3; and
- *Full or co-funding indicator* = 2

Then apply the following filters in turn to the already filtered list:

- *Aim level* in (E, 1, 2)
- *Age at aim start* is between 19 and 23 and *Aim level* = 3 or 4.

The indication is that these learners could qualify for full funding at the provider's discretion in which case the provider is under-claiming funding.

Providers can check other groups of learners in receipt of benefits by changing the first four filters above. For example, to identify learners in receipt of JSA or ESA (WRAG), apply the following filters:

- *Fundline SFA* = "Classroom Learning" or "Workplace Learning"; and
- *Benefit status indicator* = 1 or 2; and

[24] Paragraph 196 of the *Funding Rules 2015 to 2016*

- *Full or co-funding indicator* = 2

Then apply the following filters in turn to the already filtered list:

- *Aim level* in (E, 1, 2)
- *Age at aim start* is between 19 and 23 and *Aim level* = 3 or 4.

Apply the following filters to identify co-funded learners whose prior attainment indicates that they may be starting their first level 2 or 3 or their first level 4 without having achieved a level 3:

- *Fundline SFA* = "Classroom Learning" or "Workplace Learning"; and
- *Age at aim start* is between 19 and 23; and
- *Full or co-funding indicator* = 2

Then apply the following pairs of filters in turn to the already filtered list:

- *Prior attainment* in (1, 7, 9, 99) and *Aim level* = 2
- *Prior attainment* in (1, 2, 7, 9, 99) and *Aim level* = 3 or 4.

The indication is that these learners could qualify for full funding in which case the provider is under-claiming funding.

However, there are some checks that the provider will need to undertake before amending the Code value relating to the ILR Learning Delivery FAM Type *FFI (Full or co-funding indicator)* to 1 (full funding). Firstly, the provider should check the accuracy of the value recorded in the *Prior attainment* field. In addition, since the ILR field *Prior attainment* is completed when a learner first enrols with a provider, it is possible that the learners may have achieved qualifications at a higher level before enrolling on the learning aim listed on the filtered report, meaning that they may not be learners' first level 2, 3 or 4 qualifications.

Also, the provider will need to check that the enrolled learning aim is a full level 2 or 3 qualification, or a level 4 qualification containing at least 30 credits.

16S-470: Learners enrolled on English and maths learning aims

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

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

16S-480: Learning support funding

Identifies learners and all recorded instances of Learning Support Funding.

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

16S-490: Funding by subcontractor

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

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

Compare each of these values with the provider's *Subcontractor declaration*. Check any UKPRN values that do not appear on the *declaration* on the website (UK Register of Learning Providers (UKRLP)) to identify the subcontractor. Raise with the provider any instances where it has not reported the subcontractor on the *declaration*. The value of SFA funded provision in the ILR may exceed the value on the declaration because the amount the provider pays its subcontractors will be different to the value of SFA funding. However, if it is significantly greater, raise this with the SFA contract manager. Note that all subcontractors must register on the UKRLP[25].

Use this report in completing working paper D3.

Note that providers must complete the *Subcontracted or partnership UKPRN* field if a subcontractor delivers any proportion of the learning aim, no matter how small.

16S-500: Advanced Learning Loan and Loans Bursary Fund learners **FM99**

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

Review of this report is not required but the report will be useful should you need to undertake any additional testing of loans learners or loans bursary funding, including reconciliation to SLC records and additional testing.

16S-510: Level 3/4 Advanced Learning Loans exceptions

Identifies learners (other than apprentices) aged 24+ that are not flagged as armed forces leavers and are enrolled on non-trade union learning aims at level 3 or 4 funded through a source other than a loan.

SFA funding is not available for learners aged 24 and over undertaking provision at level 3 and 4 except for the specific groups as defined in the Funding Rules[26]. The output for this report excludes apprentices, armed forces leavers and trade union learning aims. Any entries on the report will be data errors and may be over-claims of funding and the provider will need to make the necessary data adjustments.

16S-520: Traineeships maximum duration exceptions

Identifies traineeship programmes that exceed maximum duration requirements for learners in learning and lists all learning aims.

The maximum duration for a traineeship is six months. Any traineeships listed on this report have exceeded this duration and the provider must close the traineeship programme aim and any component learning aims, except English and maths where the learner is continuing with either or both of these.

[25] Paragraph 2 of the *Funding Rules 2015 to 2016*
[26] Paragraph 480 of the *Funding Rules 2015 to 2016*

Learners can continue with English and maths learning aims beyond the six-month duration[27].

MP17 *16S-530: Traineeship eligibility*

Identifies (and lists all learning aims for) trainees whose age, employment status or prior attainment indicate that they do not satisfy traineeship eligibility criteria.

The SFA is monitoring trainees' employment status records to confirm that where they are employed, they are working no more than 16 hours per week.

Identify any exceptions to this by filtering on *Employment intensity indicator* = 3 or 4.

Note that in each case, the provider should start by checking that it has input the correct code value for the employment status monitoring type *EII (Employment intensity indicator)*, based on the evidence held.

This identifies learners recorded as employed for at least 16 hours per week. Within this group, learners employed for more than 16 hours per week are not eligible to participate in a traineeship and the provider will need to remove them from the programme by deleting the traineeship programme aim. It is possible that the SFA will still fund these learners for some of the individual learning aims, depending on whether they satisfy the rules on financial contributions[28]. 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. Note that within FM35, the work experience aims are not fundable outside the traineeship programme.

In respect of learners with an *Employment intensity indicator* of 3 (employed for 16-19 hours per week), where the learners are employed for 16 hours, they can remain on the traineeship programme if the provider can confirm that their earnings satisfy the requirements for such learners[29].

In addition to the use of this report in addressing the monitoring plan, use this report to check the values in other ILR fields that indicate learner ineligibility for the traineeship programme.

Learners who are over 24 years of age are not eligible to start a traineeship programme. Nor are learners aged 19 to 24 with prior attainment at level 3 or above. Apply the following filters in turn to identify such learners:

- *Age at start of programme* > 24.
- *Age at start of programme* is between 19 and 24 and *Prior attainment* in (3, 4, 5, 10, 11, 12, 13).

Any learners appearing on these filtered lists are ineligible for a traineeship and the provider must remove them from the programme. As with the monitoring above, the SFA may still fund these learners for some of the individual learning aims, depending on whether they satisfy the rules on financial contributions.

Learners employed for fewer than 16 hours per week may be eligible for a traineeship. Identify such learners by applying the following filters:

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[27] Paragraph 360 of the *Funding Rules 2015 to 2016*
[28] Paragraphs 196 to 198 of the *Funding Rules 2015 to 2016*
[29] Paragraph 329 of the *Funding Rules 2015 to 2016*

- *Age at start of programme* is between 19 and 24; and
- *Prior attainment* in (1, 2, 7, 9, 99); and
- *Employment intensity indicator* = 2.

Check whether the provider can confirm that their earnings satisfy the requirements for such learners[30]. If they do not, the provider will need to remove them from the programme.

MP15 16S-550: Traineeships with incorrect or no work placement aims

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

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

A traineeship must include a work placement[31]. There are three learning aim reference numbers that the provider can use to report work placements within funding model 35 in the ILR.[32]

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

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

It is possible that the SFA will still fund these learners for some of the individual learning aims, depending on whether they satisfy the rules on financial contributions[33]. 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.

16S-570: 24+ workplace learning funding eligibility

Identifies learning aims up to and including level 2 for workplace learners aged 24 and over where related ILR fields indicate that they may not be eligible for funding.

Workplace learners (other than apprentices) aged 24 and over when they start are not normally funded for learning aims at entry level and level 1, and non-full level 2 learning aims.

Note that since the 2013 to 2014 funding year, English and maths no longer appear in the description of workplace learning and this report excludes these.

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[30] Paragraph 329 of the *Funding Rules 2015 to 2016*
[31] Paragraph 340.1 of the *Funding Rules 2015 to 2016*
[32] Paragraph 474 of the *Provider Support Manual for 2015 to 2016*
[33] Paragraphs 196 to 198 of the *Funding Rules 2015 to 2016*

Providers must be able to demonstrate that learners appearing on this report are eligible for funding and that they are correctly claiming full- or co-funding.

Where the learner is incorrectly categorised as a workplace learner, where the provider has returned any other incorrect ILR data for these learners or where the provider has omitted to return relevant data, they must make the necessary data corrections.

Where the ILR data are correct and the learner does not satisfy the requirements for funding learners aged 24 and over, the provider must remove the funding.

MP16 16S-580: Traineeships with no work preparation aims

Identifies traineeship programmes containing no work preparation learning aims.

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

A traineeship programme must contain work preparation as a core element[34] and is ineligible for funding otherwise. All work preparation activity, including non-regulated aims, must be recorded using learning aims categorised as Work Preparation-SFA Traineeships on the Learning Aim Reference Service (LARS). You can identify such learning aims by referring to the Core_LARS_LearningDeliveryCategory table in LARS and filter on *CategoryRef = 2*.

Learners listed in this report have no such work preparation learning aims recorded in their traineeship programme. Where these learners' learning agreements contain an eligible work preparation learning aim, and the provider has omitted to return details of the learning aim in its ILR data return, it must make the necessary data corrections. Where they do not, the provider must remove the learner from the traineeship programme. It is possible that the SFA will still fund these learners for some of the individual learning aims, depending on whether they satisfy the rules on financial contributions[35]. 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.

16S-600: Level 3 Early Years Educator learning aims outside apprenticeships

Identifies learners (other than apprentices) enrolled on level 3 Early Years Educator learning aims at the same time as they are enrolled on English and/or maths learning aims at levels up to and including GCSE.

In the 2014 to 2015 funding year (2014/15), it was a requirement that learners must have achieved GCSE English and maths at grade A*-C before they became eligible to be funded for level 3 Early Years Educator learning aims[36].

Consequently, providers must not have enrolled learners on any English and/or maths learning aims up to and including GCSE standard at the same time as the level 3 Early Years Educator learning aim.

This report lists exceptions to this rule and providers must amend the ILR to remove funding for these learners and their level 3 Early Years Educator learning aim.

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[34] Paragraph 340.2 of the *Funding Rules 2015 to 2016*
[35] Paragraphs 196 to 198 of the *Funding Rules 2015 to 2016*
[36] Paragraph 67 of the *Funding Rules 2014 to 2015*

The SFA removed this rule with effect from 1st August 2015 so this report will only include learners continuing in learning from 2014/15.

MP7 16S-630: Other funding adjustments

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

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

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

MP13 16S-640: Learner support reason

Lists learners reported as being in receipt of learner support.

The SFA is monitoring the use of the ILR Learner FAM Type *LSR (Learner support reason)* to confirm that the number of learners in receipt of learner support funding is proportionate to the value of the provider's Discretionary Learner Support (DLS) allocation.

Providers are required to record in the ILR the reasons for claiming learner support. The SFA expects the data in the Learner FAM type *LSR* to reflect the use of DLS and to identify all of the learners receiving funding.

Providers can use this report to check their own records of recipients of learner support funding with their ILR data to ensure that the ILR is complete.

16S-650: Trailblazer apprenticeships FM81

Lists learners enrolled on Trailblazer apprenticeships and their learning aims.

This is a complete listing of all learners enrolled on Trailblazer apprenticeship programmes and their component learning aims. Review of this report is not required.

Use the report for PFMA sample selection for assurance reviews of Trailblazer apprenticeship funding and for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

MP18 16S-660: Traineeships with flexible elements but no work placement aims

Identifies traineeship programmes that contain flexible elements but no work placement aim.

The SFA is monitoring traineeship programmes that contain flexible elements where there is no record of a work placement.

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

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

MP11 16S-670: August withdrawals

Identifies learners and learning aims that they have continued into the current funding year and withdrawn from during August.

The SFA is monitoring learners reported as starting learning aims prior to 1st August 2015 and withdrawing from them in August 2015.

When learners withdraw from a learning aim, providers must record a learning actual end date that reflects the last date of evidence of learning activity. This can be accurate to within a week, providing that any approximation does not result in wrongly including or excluding a learner in the funding calculations[37]. In any event, providers must report the learning actual end date in the funding year during which the last episode of learning took place.

We have identified incorrect learning actual end dates in August in the following circumstances:

- Where providers have identified that learners withdrew from a learning aim in a prior year. Instead of recording the learning actual end date as the date of the last evidence of learning activity, they use a date in August (usually 1st) of the current funding year.
- Where a learning aim follows an academic timetable and a learner indicates an intention to return after the summer holiday but does not.

Providers can use this report to check that they hold evidence to confirm that learners did participate in learning activity during August and that the learning actual end date recorded is accurate. Where the evidence available does not support the choice of learning actual end date, providers must correct the data accordingly, recording a date in a prior funding year if applicable.

MP12 16S-680: Funded learning aims already achieved

Identifies learners with funded learning aims where the ILR contains a record of earlier achievement of the same learning aim.

The SFA is monitoring learners that achieve a learning aim and are funded again for the same learning aim.

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

- a requirement of an apprenticeship framework; or
- to obtain a higher grade in a GCSE where the learner has not achieved grade C or higher[38].

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

[37] Page 120, *Specification of the Individualised Learner Record for 2015 to 2016*
[38] Paragraph 91 of the *Funding Rules 2015 to 2016*

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

Note that although the SFA is comparing data in the current funding year with that of previous years to identify repeated learning aims, PDSAT can only report repeated learning aims in the current funding year. This report excludes programme aims and non-regulated learning aims.

5.3 EFA reports

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

For SFA funding assurance reviews, you can use report 16B-010 first to check whether the reports contain any records before outputting them. When reviewing the reports, start by filtering on 'Source of funding = 105' to identify learners funded by the SFA.

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

16E-070: Learners under 16

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

In respect of EFA funding, if the learner is 15 but has started a full level 3 programme after their official school leaving date, this is acceptable without individual approval from the EFA if they hold qualifications at least equivalent to a full level 2[39]. If this is the case, there is nothing to raise with the provider.

The report could contain learners aged 14 to 16 and flagged as electively home educated, using the code value of 321 in the related Learning Delivery FAM Type *LDM (Learning delivery monitoring)*. Providers must be able to demonstrate that such learners are electively home educated if requested.

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

16E-160: Full time learners on short study programmes

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

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

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

[39] Paragraph 48 of the EFA's *Funding guidance for young people 2015 to 2016: Funding regulations*

One of the most common errors that providers make is omitting to update the values in the ILR fields *Planned learning hours* and *Planned employability, enrichment and pastoral hours* for continuing learners at the start of a new teaching year[40]. You may find that learners appear on this report for this reason.

You can sort records on *Total planned hours* (column I) 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* (column S) so that you can easily identify study programmes that the provider plans to deliver in the shortest time. Alternatively, if you prefer to keep the report in alphabetical order by learner name, simply filter on these fields.

Check whether it is feasible to deliver programmes over such short periods, investigating the circumstances. There may be patterns of delivery for specific types of programmes that the provider systematically delivers over short periods.

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

16E-170: Learners with high weekly study hours

Lists learners shown as having high weekly guided learning hours.

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

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

One of the most common errors that providers make is omitting to update the values in the ILR fields *Planned learning hours* and *Planned employability, enrichment and pastoral hours* for continuing learners at the start of a new teaching year[41]. You may find that learners appear on this report for this reason.

You can sort records on *Average weekly planned hours in year* (column T) 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.

16E-180: Learners with high planned hours in-year

Lists learners on a study programme with a planned annual duration of at least 800 hours.

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

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[40] Paragraph 203 of the *Provider Support Manual for 2015 to 2016*
[41] Paragraph 203 of the *Provider Support Manual for 2015 to 2016*

Annual programmes of more than 800 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.

16E-210: Learners with planned hours split by qualification hours and non-qualification hours

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

The EFA expects that most of its funded learners should be spending most of their funded time undertaking qualification activity.

By sorting or filtering on the lowest values in column L, 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.

16E-220: Learners on study programmes of no more than four weeks' duration

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

Learners recruited on short programmes are ineligible for EFA funding if they are already enrolled with another provider on either EFA or SFA funded provision or full time HE provision[42]. Providers should be able to demonstrate that they are delivering the study hours recorded on the ILR and that they have checked that such learners are not being funded elsewhere on longer programmes.

Note that study programmes of fewer than 2 weeks are not eligible for EFA funding.

16E-230: Funded hours thresholds

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

The EFA's funding rate per learner depends on the range of hours within which the number of study hours in the learner's study programme falls. In particular, the maximum numbers of hours for the four part-time bands (1, 2, 3 and 4b) are 279, 359, 449 and 539 respectively. This report identifies learners that have exceeded these thresholds by 5%, taking them into the next funding band.

Where there are large numbers of learners in this report, check that the provider holds evidence to support the number of planned study hours.

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[42] Paragraph 85i of the EFA's *Funding guidance for young people 2015 to 2016: Funding regulations*

16E-240: Withdrawals and qualifying days for funding

Identifies learners that have withdrawn from programmes where the actual duration is close to the minimum number of qualifying days for funded learning[43].

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

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

- programmes of at least 2 weeks' and less than 24 weeks' planned duration, where the actual duration is at least 14 days
- programmes of at least 24 weeks' planned duration, 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.

16E-250: 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.

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

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

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

Filter the *Learning planned end date* on "is less than or equal to" and choose a date for which it is reasonable to expect that most learners should have completed (you could use 31/07/2015 although the further into the 2015/16 funding year the review is, the later the date that you could reasonably use). Where there are significant numbers of learners with learning planned end dates prior to this date, this could be due to the quality of the provider's initial assessment process and you may need to report the issue to the EFA territorial team.

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data[44].

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[43] Paragraphs 30, 33 and Table 3 of the EFA's *Funding guidance for young people (Academic year 2015 to 16): Funding rates and formula*
[44] Section 5 of the *Provider Support Manual for 2015 to 2016*

16E-270: Transferring learners

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

Completion status = 3 and *Withdrawal reason = 40* means that the learner has withdrawn from the learning aim and at the same time has transferred to a new learning aim. The learning start date of the new learning aim may be slightly later than the learning actual end date of the 'transferred off' learning aim[45]. However, 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*.

16E-300: Early completions

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

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

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

The report contains three calculated fields:

- *Actual duration days* (column AF)

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* (column AD)

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* (column AE)

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).

For classroom learning in particular, learning planned end dates are often more likely to be based on a scheduled timetable of classes. Where the provider records learners as completing early, check that the learners actually completed the programme and did not withdraw. Check also that the provider is not using a standard planned end date for all learners, irrespective of the individual circumstances of each learner.

[45] Paragraph 407 of the *Provider Support Manual for 2015 to 2016*

16E-310: Completions with unknown outcomes

Lists learners and their learning aims where the learner has completed the learning aim but the outcome is unknown.

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

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

It may be due to the provider's process for updating completion information. Check this as the provider may be planning to update them all at once in time for the final ILR return. In this case, further checking may be required later in the assurance review process. Note that you should discourage the provider from this way of working as data management principles include the returning of timely and accurate ILR data[46].

16E-330: Generic postcodes

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* (column S) for learners that were not resident in the UK prior to enrolment and for learners for whom their postcode is unknown. Note that generic values could result in an understatement of future disadvantage funding. The provider can return a generic value for *Current postcode* only where it is unknown.

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

Follow up generic values for *Delivery location postcode* as these could result in an understatement of area cost uplift for future funding. Note that a delivery location postcode of "ZZ99 9ZZ" signifies distance or e-learning.

16E-350: 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.

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[46] Section 5 of the *Provider Support Manual for 2015 to 2016*

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

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

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

16E-420: Non-English postcodes

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

This report identifies potentially ineligible learners.

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

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

The EFA expects some local areas within Wales and Scotland to form part of providers' normal recruitment areas and EFA territorial offices will agree these with providers. Check that the EFA and the provider have reached such an agreement for learners on this report.

Learners living in the Isle of Man or the Channel Islands are ineligible for funding[47].

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

16E-430: All HEFCE funded learners

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

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

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

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

[47] Paragraph 37 of the EFA's *Funding guidance for young people 2015 to 2016: Funding regulations*

16E-440: Learning aims by delivery postcode

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

Grouped by Delivery location postcode and learning aim.

No analysis is required but 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.

16E-450: All learners and learning aims

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

No analysis is required but the report will be useful for identifying sub-populations for additional testing where you identify funding errors that could be ring-fenced.

16E-460: Core aims

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

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

The EFA uses the core aim to determine whether the programme is academic or vocational, whether the learner is retained on the programme and for calculating the programme cost weighting. As such, it is important that the provider determines the most appropriate learning aim as the core aim[48].

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

16E-490: Funding by subcontractor

Summarises by subcontractor and funding line the value of EFA funded provision delivered by a subcontractor (only outputs count of learners for XML input).

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

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

[48] Paragraphs 20 to 24 of the EFA's *Funding regulations for young people (Academic year 2015 to 16): Funding rates and formula*

16E-520: Traineeships maximum duration exceptions

Identifies traineeship programmes that exceed maximum duration requirements and lists all learning aims.

The maximum duration for a traineeship is six months. Any traineeships listed on this report have exceeded this duration and the provider must close the traineeship programme aim and any component learning aims, except English and maths where the learner is continuing with either or both of these.

Learners can continue with English and maths learning aims beyond the six-month duration.

16E-530: Traineeship eligibility

Identifies (and lists all learning aims for) trainees whose age or employment status indicate that they do not satisfy traineeship eligibility criteria.

Learners who are under 16 years of age or over 24 years of age are not eligible to participate in a traineeship. Any such learners appearing on this report are ineligible for a traineeship and the provider must remove them from the programme.

The report also includes learners recorded in the ILR as employed at the start of their programme. Learners employed for more than 16 hours per week are not eligible to participate in a traineeship and the provider will need to remove them from the programme. Learners employed for no more than 16 hours can remain on the traineeship programme if the provider can confirm that their earnings satisfy the requirements for such learners[49].

16E-550: 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 are five learning aim reference numbers that the provider can use to report work placements within funding model 25 in the ILR[50]. The use of any other aim could result in a discrepancy in the number of planned hours recorded and could affect the funding claim. Traineeships with no work placement are ineligible for funding.

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

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

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[49] Paragraph 329 of the *Funding Rules 2015 to 2016*
[50] Paragraph 474 of the *Provider Support Manual for 2015 to 2016*

6. Removed reports

We have removed the following reports from PDSAT v16.

- 16S-150: Prior attainment and full funding for learners aged 19 to 23

  Validated by LearnDelFAMType_56
- 16S-560: 24+ learners with full funding claimed

  Validated by LearnDelFAMType_57 and LearnDelFAMType_58
- 16S-610: Level 3 Early Years Educator learning aims in apprenticeships

  Validated by ProgType_12

We have not carried forward the following reports from PDSAT v15:

- 15S-070: Learners under 16

  Validated by DateOfBirth_10 and DateOfBirth_25
- 15S-080: Apprentices with prior attainment at level 4 and above

  Validated by PriorAttain_04
- 15S-290: Apprenticeship achievers

  Report incorporated into 16S-130 and 16S-140
- 15S-340 & 15E-340: Learners with a Learning Difficulty Assessment or Education, Health and Care Plan

  Validated by DateOfBirth_30
- 15S-370 & 15E-370: Learners with generic ULNs

  ULNs validated by ULN_ (02-07 & 09-11)
- 15S-540: Traineeship classification

  Validated by LearnDelFAMType_47
- 15S-590: Apprenticeships with non-mandatory English and/or maths aims

  Validated by ProgType_09 and ProgType_10
- 15S-620: Use of work experience aims outside traineeships

  Validated by LearnAimRef_52, LearnAimRef_46 and LearnAimRef_48

7. Document history

Version 1 published December 2015

Version 2 published February 2016: Correction highlighted in turquoise