Individualised Learner Record 2007/08

FE Provider Support Manual

Version 1
May 2007
Section 1: Introduction

1 The Learning and Skills Council (LSC) requests Individualised Learner Record (ILR) returns for 2007/08 from providers in receipt of FE funding directly from the LSC for 2007/08. This manual contains advice and guidance relevant to these providers for the 2007/08 teaching year. It applies to the following FE ILR returns, with the reference dates in brackets:
   - ILRF01 (01 November 2007);
   - ILRF02 (01 February 2008);
   - ILRF03 (01 May 2008);
   - ILRF04 (31 July 2008);
   - ILRF05 (from 01 November 2008); and
   - ILRX01 to ILRX99 (throughout 2007/08).

2 This manual does not apply to the following cycle of returns:
   - Adult & Community Learning (ACL) C01 – C03;
   - University for Industry (UfI) U01 – U03;
   - Work based learning (WBL) W01 – W13; or
   - ESF Short Record (ESF SR) S01 – S13.

   The provider support manuals relevant to the above cycle of returns are available on the LSC website at: www.lsc.gov.uk/providers/Data/Datacollection/ILR

3 The “Specification of the ILR for 2007/08” is the reference document for the ILR and was published on 5 March 2007. It specifies the format and content of the ILR. It details what each ILR file must contain. It details the format and valid values for each individual field. It covers ILR returns for all providers – ACL, FE, UfI and WBL. It is available to download from the LSC website at: www.lsc.gov.uk/providers/Data/Datacollection/ILR
Section 2: Other related documents and information

4 Your primary reference for ILR information should be this document and the ILR specification document.

The data collection section of the LSC website also contains information that could help you. Here you will find links to many of the documents listed below and information relating to ILR returns for 2007/08.
www.lsc.gov.uk/providers/Data/Datacollection/ILR

5 The following documents and links all contain information relevant to FE providers:

“Funding Guidance for Further Education in 2007/08” available at: www.lsc.gov.uk/providers/funding-policy/Furthereducation

“Train to Gain” (web site) available at: www.traintogain.gov.uk

“Updates” (web page) available at: www.lsc.gov.uk/providers/Data/updates
This page provides items or news of interest to providers who make ILR returns to the LSC including details of updates to the Data section of the website. There is also an e-mail alert service that will automatically notify you of any changes made to the site, which is available at: http://www.lsc.gov.uk/providers/Data/help/datawebalerts.htm

“Learner Information Suite” (web page) available at: www.lsc.gov.uk/providers/Data/Software/LIS
This page provides links to download the various versions of the Learner Information Suite (LIS) software.

“Learning Aim Database” (web page) available at: www.lsc.gov.uk/providers/Data/Software/LAD
The Learning Aim Database (LAD) can be accessed on-line from this page, or a copy can be downloaded. This page also contains links to the LAD user guide and a LAD overview document.

“Provider Extranet” (web site) available at: http://providers.lsc.gov.uk
The ‘Training and Support’ section within the On-line Data Collection (OLDC) system pages contain information about the system that is used to return ILR data to the LSC.

“Disadvantage uplift factors” available at: www.lsc.gov.uk/providers/Data/Software/Disadvantageduplift

Additional support

6 If you need any further information, please contact your local LSC. You can find contact details for your local LSC using the ‘Regions’ section of the LSC web site: www.lsc.gov.uk/regions
Section 3: The Learning and Skills Council

7 The LSC was established in July 2000 by the Learning and Skills Act 2000. It has a duty to secure, in relation to England only, the provision of proper facilities for education (other than higher education), training and organised leisure time occupation connected with such education and training, suitable to the requirements of persons who are above compulsory school age but have not attained 19. In addition it has a duty to secure the provision of reasonable facilities of education (other than higher education), training and organised leisure time occupation connected with such education and training, suitable to the requirements of persons who have attained the age of 19. In securing reasonable facilities for those over 19 it can take into account available resources.

8 The LSC has the power to secure the provision of financial resources in respect of post-16 education and training including by providing resources itself.

The requirement for data

9 The LSC collects ILR data so that it can fulfil its remit, as set out in the Corporate Plan, published in July 2001. The main purpose for which the LSC requires information on learners are:

- national strategic planning, including funding policy development and funding modelling, and monitoring progress towards the LSC’s targets;
- local strategic planning to provide an overview of the supply of learning opportunities and their quality in a locality, to monitor participation, and for planning and budgeting purposes;
- quality improvement including monitoring retention, achievement and success rates and improving equality of opportunity;
- performance monitoring, analysis and reporting, including measuring the sector’s and the LSC’s performance nationally, and locally for internal purposes and reporting to the Department for Education and Skills (DfES) and to ministers; and
- to enable the LSC to make its case to government for levels of funding appropriate to the sector.

10 The LSC also uses ILR data to account for the funds allocated to it by demonstrating the outcomes flowing from its distribution of those funds.

11 These data will be used to meet many of the requirements of the Department for Education and Skills (DfES) for statistical data and performance indicators/summary statistics.

12 The LSC will be analysing the education and training programmes being offered in each local Learning and Skills Council (local LSC) area in relation to:

- demographic trends;
- participation rates;
- local labour market requirements; and
- strategic planning targets.
These analyses will enable local LSCs to:

- influence curriculum and capital investment within providers for the benefit of the local economy; and
- engage with providers in medium and long term strategic planning.

Confidentiality and release guidelines for data

The LSC’s ILR data protection statement, which must be included on enrolment forms, can be found in annex F of the ILR Specification for 2007/08. The LSC has developed data sharing protocols that are published on the LSC website.

Section 4: 2006/07 Teaching year

All providers were requested to return ILR data to the LSC via the web portal in respect of 2006/07. The five data collection reference dates were:

- ILRF01 (01 November 2006; 2006/07);
- ILRF02 (01 February 2007; 2006/07);
- ILRF03 (01 May 2007; 2006/07);
- ILRF04 (31 July 2007; 2006/07); and
- ILRF05 (from 1 November 2007; 2006/07).

The reference date of the F05 return indicates that all exam results received by that reference date are included in the return. The initial F05 return has a reference date of 01 November 2007 or later. Providers should not send in an F05 return where exam results notified prior to 1 November 2007 are missing.

The reference dates for revised returns sent after 26 November 2007 are defined by the provider and can be any date between 1 November 2007 and 31 March 2008.

For 2007/08, achievement funding will continue to be based on the ratio of achievement funding to programme funding from the most recent complete data for the provider. The achievement factor will be based on the ILR F05 data for 2006/07 as at 8 February 2008.

These returns are supported by the ‘ILR 2006/07 - FE Provider Support Manual’. That manual continues to apply to 2006/07 data returns and is not superseded by this manual, which applies to 2007/08 data returns.

Section 5: Overview of data requirements

The LSC requests FE institutions to make five FE format ILR returns for each teaching year: ILRF01, ILRF02, ILRF03, ILRF04 and ILRF05. Three of these are full data returns (ILRF01, ILRF02 and ILRF05). ILRF02 and ILRF03 are only required for ESF Co-financed learners. Additionally, providers can use the ILRX01 to ILRX99 collections to make more frequent returns of data, as outlined in paragraphs 95 and 96 of Circular 03/15 Plan-led Funding for Further Education (http://readingroom.lsc.gov.uk/pre2005/funding/streams/responses-to-circular0315-plan-led-funding.pdf).
21 Each of the F01 to F05 ILR returns will comprise of files and online forms. To be able to process each ILR return promptly, the LSC requests that returns be valid and complete. The data collection web portal will request all elements automatically at the point of transmission. The online forms are not required for the X01 to X99 collections.

22 Please note that a small number of other funded providers have franchising partners. They are requested to complete the franchise and other partners online register at each return.

23 There are copies of all the online forms that are needed to make the F01 to F05 ILR returns at annex I of the ILR specification.

**Train to Gain**

24 From 2007/08 FE providers should send data for all Train to Gain funded learners in the WBL cycle of returns. No Train to Gain funded learners should be included in the provider’s FE return. All continuing Train to Gain learners who were included in a provider’s FE return for 2006/07 should be removed from the first FE for 2007/08 and returned in the WBL cycle of returns for 2007/08. No change should be made to the Learning Start Date, field A27 for these learners.

25 A Train to Gain learner funded from mainstream FE funds is defined as “Train to Gain badged” (Type A funded). Records for these learners should be sent in the usual FE return. An FO2 and FO3 does not need to be sent for Train to Gain “badged” learners.

**2007/08 Teaching Year**

26 The five FE ILR returns are outlined below and in table 1. This cycle is repeated for each teaching year with new records for all learners.

- **ILRF01** - the first full data collection with a reference date of 01 November.
- **ILRF02** – this is either a full ILR or an abridged ILR containing only learners who are part of an LSC ESF co-financed package. Reference date of 1 February.
- **ILRF03** – this is either a full ILR or an abridged ILR containing only learners who are part of an LSC ESF co-financed package. Reference date of 1 May.
- **ILRF04** - an all year-collection of data with a reference date of 31 July. This includes any changes from the original data for new enrolments, withdrawals and information about learning programmes completed. It should also include learning aim outcomes and grades where they are known.
- **ILRF05** - the final collection with a reference date of 1 November. This collects learning aim outcomes and grades in respect of learners in the previous teaching year as known at the reference date.

27 In addition to the five ILRF01 to ILR F05 returns, providers may return ILR data more frequently by using the X01 to X99 returns. There are no published reference dates for these returns – the date that it refers to should be included as part of the footer record of the file.
Completing ILRF05

28 Data returned for the final full ILR collection (ILRF05) should contain the same learner records returned at the second full ILR return (ILRF04), with outcome fields completed. Where this is not the case, the provider is asked to send commentary to the data collection manager at the national office with the ILRF05 return explaining the differences between the two data returns.

29 Fields A35 (learning outcome) and A36 (learning outcome grade) should reflect the achievement status as at the reference date. Providers should not record completion information in the final full collection for learners who complete after 31 July 2008.

30 Providers should ensure that field A39 (eligibility for achievement funding) is completed correctly as it is this field that will be used in any achievement factor calculations.

31 If learners do not return for a second or subsequent year in 2008/09 as expected, providers should complete the ILR as follows:

- For learning aims left uncompleted by the learner at the end of 2007/08 the completion status field, field A34, should be set to withdrawn.
- The learning actual end date, field A31, should be set to the last date on which the learner attended before the end of 2007/08 to indicate when the learner withdrew.
- The learning outcome field, field A35, should be completed to reflect the learner’s withdrawal.

32 The LSC would expect much of the data returned for a teaching year to remain consistent between returns. Some changes will occur between the ILRF01 and ILRF04. These will be acceptable provided that the scale of changes is not excessive compared with other providers and that the data in ILRF04 are valid. Changes between ILRF04 and ILRF05 should be minimal. If ILRF04 was incorrect, amendments can be made in ILRF05. However, if this involved the creation or deletion of learner data sets the provider is requested to explain this in a letter to the data collection manager at the National LSC office to avoid unnecessary queries to it.

33 The date for return of ILRF05 2007/08 is 24 November 2008. All providers making an F05 return are asked to do so by this date. The LSC is aware that a small proportion of exam achievement data are received after November. Consequently the LSC will keep the F05 return for 2007/08 open until the last Monday in March 2009, 30 March 2009, and providers will be able to send revised returns up to that date. Revised F05 returns received after this date will not be used to recalculate success rates or processed to inform ALI and OfSTED inspections.

34 The reference date of the F05 return indicates that all exam results received by that reference date are included in the return. The initial F05 return has a reference date of 01 November 2008 or later. Providers should not send in an F05 return where exam results notified prior to 1 November 2008 are missing.
The reference dates for revised returns sent after 24 November 2008 are defined by the provider and can be any date between 1 November 2008 and 30 March 2009. The specific reference date used by the F05 return should be indicated in the footer record as detailed in the ILR specification.

The most recent F05 return received by close on Friday 6 February 2009 will be used to calculate a revised FE achievement factor for 2008/09. Any returns received after this date will not be processed to amend this factor.
Collection Timetable for 2007/08

The ILR timetable for 2007/08 is described in Table 1 below. All providers are asked to return data via the LSC’s data capture web portal in batch file format.

<table>
<thead>
<tr>
<th>Return Number</th>
<th>Reference date</th>
<th>Return date</th>
<th>Files Required</th>
<th>Forms Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>ILRF01</td>
<td>01 November 2007</td>
<td>03 December 2007</td>
<td>• valid learner data sets, valid learning aim data sets, valid ESF data sets (where required) and valid HE data sets (where required). • register of franchise or other partners – if nil please indicate. This is returned by colleges and a small number of other funded providers. • reconciliation list between 31 July 2007 (ILRF04; 2006/07) or 01 November 2007 (ILRF05; 2006/07) and 01 November 2007 (ILRF01; 2007/08) – if nil return mark element status as nil (see paragraph 0).</td>
<td>ILRF01 (Full ILR) (returned by colleges only). ILRFRECEXP.</td>
</tr>
<tr>
<td>ILRF02</td>
<td>01 February 2008</td>
<td>18 February 2008</td>
<td>• valid learner data sets, valid learning aim data sets, valid HE data sets (where required) and valid ESF data sets.</td>
<td>ILRF02 (Full or abridged ILR for ESF learners only)</td>
</tr>
<tr>
<td>ILRF03</td>
<td>01 May 2008</td>
<td>19 May 2008</td>
<td>• valid learner data sets, valid learning aim data sets, valid HE data sets (where required) and valid ESF data sets.</td>
<td>ILRF03 (Full or abridged ILR for ESF learners only)</td>
</tr>
<tr>
<td>ILRF04</td>
<td>31 July 2008</td>
<td>01 September 2008</td>
<td>• valid learner data sets, valid learning aim data sets (completion status field correct as at 31 July 2008), valid ESF data sets (where required) and valid HE data sets (where required) • register of franchise or other partners. Colleges and a small number of other funded providers return this. If nil mark element status as nil (see paragraph 0).</td>
<td>ILRF04 (Full ILR) (returned by colleges only)</td>
</tr>
<tr>
<td>ILRF05</td>
<td>from 01 November 2008</td>
<td>24 November 2008</td>
<td>• the same valid data sets as returned for ILRF04 with outcome and grade data as appropriate, as known at 01 November 2008 • register of franchise or other partners. Colleges and a small number of other funded providers return this. If nil mark element status as nil (see paragraph 0).</td>
<td>ILRF05 (Full ILR) (returned by colleges only)</td>
</tr>
</tbody>
</table>

Table 1
Section 6: Coverage of the ILR

Provider coverage

38 In this manual the term ‘provider’ includes:

- FE colleges in receipt of further education funding for 2007/08 (colleges); and
- other providers, previously known as external institutions, in receipt of further education funding for 2007/08 (former external institutions).

Where guidance does not apply to all providers this is specified.

39 The following providers are asked to return data in the FE cycle of ILR returns in 2007/08.

- All FE colleges
- All former external institutions in receipt of LSC FE funding.

40 Higher Education Institutions in receipt of LSC FE funding in 2007/08 are requested to make returns to the Higher Education Statistics Agency (HESA) that collects data on behalf of the Higher Education Funding Council for England (HEFCE). This will include FE learners enrolled at HE institutions. HESA and the LSC exchange data, thus avoiding duplicate requests for data.

41 An HE institution with a large volume of LSC funded provision may in addition make FE returns as described in this manual. This is by arrangement with its local LSC.

Learner coverage – colleges

42 ILR data should be returned in the FE cycle of returns for all learners enrolled at the college in 2007/08 except those:

- who are solely WBL funded and are included in a WBL return from the college;
- who are Train to Gain funded;
- who are solely ACL funded and are included in an ACL return from the college;
- who are solely on UfI programmes and are included in a return from UfI Ltd.;
- whose planned programme of more than 12 weeks, more than 84 days, begins on or after 1 August 2007 and who withdraw without completing the programme before 1 October 2007. This does not apply to learners who are direct ESF beneficiaries, for whom ILR data should be returned in all cases;
- whose planned short programme of 12 weeks or less begins on or after 1 August 2007 and who withdraw before 1 October 2007 and before completing more than half the programme. This does not apply to learners who are direct ESF beneficiaries, for whom ILR data should be returned in all cases;
- who are studying on provision delivered by the college on behalf of another provider, that is franchised in to the college. These learners should be included on the ILRFRANIN online form;
• who attend more than one provider to study for a single learning aim and are enrolled at one of the other providers and not this college; and
• who are registered at the college for examinations but do not, and have not, received tuition in respect of those learning aims.

43 Apart from the exception for UfI programmes noted in paragraph 42, FE ILR returns should include records for learners for whom colleges are receiving no direct LSC funding. This includes full cost recovery provision and ACL provision that is subcontracted to a college by an LEA.

44 In some cases, a college may receive ACL funding directly from the LSC. These colleges are expected to transmit ACL ILR returns within the ACL timetable. Information about ACL ILR returns can be found in the ACL provider support manual.

45 Colleges that receive WBL funding directly from the LSC are expected to transmit WBL ILR returns within the WBL timetable. Information about WBL ILR returns can be found in the WBL provider support manual.

46 Learners that are funded by more than one LSC funding stream should appear in each applicable cycle of ILR returns. For example, a college that has a learner on an WBL funded aim and an FE funded aim is expected to return information about the learner in the WBL cycle of returns and the FE cycle of returns.

**Learner coverage – former external institutions**

47 ILR data should be returned in the FE cycle of returns for all learners enrolled at former external institutions in 2007/08 on LSC funded FE provision, except those:

• who are solely ACL funded and are included in an ACL return from the former external institution;
• who are solely WBL funded and are included in a WBL return from the former external institution;
• whose planned programme of more than 12 weeks, more than 84 days, begins on or after 1 August 2007 and who withdraw without completing the programme before 1 October 2007;
• whose planned short programme of 12 weeks or less begins on or after 1 August 2007 and who withdraw before 1 October 2007 and before completing more than half the programme;
• who are studying on provision delivered by the provider on behalf of another provider, that is franchised in to the provider;
• who attend more than one provider to study for a single learning aim and are enrolled at one of the other providers and not this provider; and
• who are registered at the other funded provider for examinations but do not receive, and have not received, tuition in respect of those learning aims.

Providers should check to ensure that the same learner is not enrolled with them more than once. Such checks should cover all sites on which the provider operates.
Section 7: Learning aim coverage

48 Providers are requested to return information about each learning aim on which a learner is enrolled to study that is:
- funded by LSC FE funding or;
- not directly funded by the LSC.

49 Providers must not return information within an FE ILR return about learning aims that are:
- funded by LSC WBL funding;
- funded directly by LSC ACL funding or;
- Train to Gain funded;
- funded by UfI Ltd.

Learning Aim Database

50 The LSC maintains a database of learning aims relevant to the FE sector in England, to assist with completion of the ILR. The database has been made available to download from the LSC’s website and updates to the database are made regularly.

51 Each learning aim on the database has been assigned a reference code to be used in the learning aim data set of the ILR. The database holds the learning aim specific information required by the LSC and is a vital tool for providers returning ILR data. Details about the Learning Aim Database can be found on the LSC’s website: www.lsc.gov.uk/providers/Data/Software/LAD

52 Providers may request learning aim codes for learning aims that are not included on the learning aim database, at any time during the year. They are encouraged to do so as soon as they enrol a learner onto a learning aim. Providers who delay requesting codes for learning aims until after the year is complete, that is until after July 2008, may find they are delayed in making returns because the LSC’s software may not recognise these codes. Full details about making requests for new learning aim codes can be found on the LAD pages of the LSC’s website.

Franchising and other partnerships – colleges

53 Colleges may provide teaching and learning to the learners they enrol either directly or through a franchising arrangement with an outside organisation (Franchised-out). Learners who are enrolled at the college and some or all of their provision is franchised-out, should be included in the college’s ILR returns.

54 Learners who are not enrolled at the college but who are studying on provision franchised-in to the college, for some or all of their programme, should be recorded on the aggregate return for learners studying on provision franchised-in to the college, form ILRFRANIN. A template form is included at annex I of the ILR specification. Colleges should not return individualised records for these learners.

55 Link learners should be treated like learners studying on provision franchised-in.
Franchising and other partnerships – former external institutions

56 Learners who are enrolled at a provider previously known as an external institution, for which that provider is in receipt of FE funding for 2007/08 should be included in that provider’s ILR even if some or all of that provision is franchised-out.

57 Providers that have franchising partners are requested to update a register of franchise or other partners with each return. The register is an online form on the data collection web portal. A sample register is included at annex I of the ILR specification.

58 Records should not be returned for learners franchised-in from another funded provider for some or all of their programme of study.

Section 8: ILR reconciliation for full ILR returns

59 The ILR is the auditable basis for calculating funds. In order to calculate the funds generated by a learner it is necessary to have complete and unambiguous information about each learner’s programme of study at a provider. The reconciliation process is designed to ensure that where a learner studies in two or more successive teaching years then the recording between the two years is consistent.

Figure 1. Pattern of reconciliation for 2007/08 returns

<table>
<thead>
<tr>
<th></th>
<th>July</th>
<th>2007 Nov</th>
<th>Dec</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006/07</td>
<td>ILRF04</td>
<td>ILRF05</td>
<td>a or b</td>
</tr>
<tr>
<td>2007/08</td>
<td>ILRF01</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

60 The purpose of the reconciliation is to identify learners that are marked as continuing as at the 31 July 2007 but who are not present in the first return for 2007/08 (ILRF01; 1 November 2007; 2007/08).

61 This reconciliation should be returned with ILRF01 (2007/08). This reconciliation may either be run against ILRF04 (arrow a) or ILRF05 (arrow b). This reconciliation report can be produced by LIS series 15.

62 Providers should review the reconciliation report and where appropriate take corrective action to ensure learners are recorded consistently between the two years and therefore do appear on the report.

63 Where this is not possible, providers are requested to summarise the numbers of learners appearing on the report on the ILRRECEXP online form together with an explanation of why the learners are appearing.
Where no learners appear on the reconciliation report providers must complete the ILRRECEXP online form indicating a nil return.

There is no requirement for reconciliation from the final return of 2007/08 against the first collection of 2008/09.

Section 9: Returning data to the LSC

Validation

It is important that the data we receive at the LSC is accurate. When data is received, we apply a validation process that helps to ensure that data are complete and correct. The validation process applies a series of rules to the data, and produces a report of errors and warnings.

Errors are produced where data makes no sense or cannot be correct, for example if the learning end date is before the learning start date. Records that produce errors are not loaded to the LSC system.

Warnings are produced where data are unusual, for example where a learner is over 100 years old. Records that produce warnings are loaded to the LSC system, but you should check each of these records to ensure that the data is correct.

The validation rules for 2007/08 are published on the LSC website at: www.lsc.gov.uk/providers/Data/Datacollection/ILR

The Learner Information Suite

The Learner Information Suite is a software package that is part of the LSC data capture system. You should install it onto your own PC and use it to validate ILR data before you send it to us. The validation rules that it uses are the same as those used when we receive the data.

LIS version 15 is for the 2007/08 ILR. More information can be found at: www.lsc.gov.uk/providers/Data/Software/LIS

Using the LSC’s online batch capture process

The process for returning data to the LSC is provider batch capture.

Providers produce a batch file from their MI system. It is transmitted using the LSC on-line data collections system to the LSC database. Guidance on using the OLDC can be obtained from the LSC website for providers at: http://providers.lsc.gov.uk

If you know that any of your ILR returns will be made late, you should contact your local LSC.

An overview of the process is described in Figure 2 below:
Completing other elements of an ILR return

76 Table 1 describes the other elements requested alongside ILR data. The web portal will prompt a user to attach or complete:

- an ILRFRANIN on-line form (Colleges and a small number of external institutions);
- an ILRRECEXP on-line form (ILRF01 only);
- a reconciliation file exported from the reconciliation component in the LIS (ILRF01); and
- an on-line register of Franchise and Other Partners element

Where an ILR data file is ready to load to the LSC database but the associated elements are not ready, providers may transmit the ILR data file and indicate that other elements will be completed later. A status indicator will be available to record if an element is:

- completed or uploaded;
- required but not available; or
- nil.

In such a case the LSC will consider a return to be incomplete until all the elements have been received.

Retransmitting data

78 Where the reapplication of a batch file is required it will be possible to select an existing transmission and reapply it to the LSC database.