

# **Individualised Learner Record 2007/08**

# **ESF Short Record (SR) Provider Support Manual**

Version 1  
May 2007

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## Version history

Version    Published

1            25 May 2007    First version for 2007/08.

Changes from the 2006/07 manual are highlighted

## Section 1: Introduction

- 1 Providers should use this guide to help with the accurate completion of the ESF Short Record ILR data collection form for 2007/08. It should be read carefully and every effort made to ensure that all those responsible for handling these forms are aware of their responsibilities and the importance of this work. The quality of data provided to the LSC is paramount and this document has been produced to achieve both uniformity and consistency in the gathering of information about individuals, the nature of their aims and their eventual achievement or destination.

### Where to find the ESF short record (SR) form

- 2 A copy of the ESF SR ILR form can be download from:  
[www.lsc.gov.uk/providers/Data/Datacollection/ILR](http://www.lsc.gov.uk/providers/Data/Datacollection/ILR)

## Section 2: Other related documents and information

- 3 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](http://www.lsc.gov.uk/providers/Data/Datacollection/ILR)

- 4 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](http://www.lsc.gov.uk/providers/Data/Datacollection/ILR)

- 5 For providers returning an ESF SR ILR, the annexes to the ILR specification document detail:

|         |                                 |
|---------|---------------------------------|
| Annex A | Collection timetable for ESF SR |
| Annex B | Migration information           |
| Annex C | Valid postcode format           |
| Annex E | LSC numbers                     |
| Annex F | Data Protection statement       |
| Annex G | Prior attainment levels         |
| Annex H | Learning aim class codes        |
| Annex K | Definition of terms             |
| Annex L | SOC 2000 codes                  |

- 6 The following documents and links all contain useful information:

**“Quick guide to completing fields E11-E15”** Annex A to this manual.  
Two pages showing: A guide to completing the interrelated fields E11-E15,

according to the learner's employment status before starting; and a table showing E11 codes for employed learners.

***“Validation rules implemented in the on-line data collection systems and the Learner Information Suite”***

A spreadsheet of validation rules and an accompanying guidance document is available on the LSC website at:

[www.lsc.gov.uk/providers/Data/Datacollection/ILR](http://www.lsc.gov.uk/providers/Data/Datacollection/ILR)

***“Learner Information Suite”*** (web page)

available at: [www.lsc.gov.uk/providers/Data/Software/LIS](http://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](http://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.

## **Further information and help**

- 7 The definitive guide to returning data to the LSC is the *‘ILR Specification for 2007/08’*. Managers responsible for returning data to the LSC should have a good working knowledge of this document. This manual is intended to provide further guidance to completing the ESF SR, which is not applicable to include in the *‘ILR Specification for 2007/08’*.
- 8 If, after consulting these documents, you cannot find a valid code that accurately describes the circumstances of the learner or their learning aims, or you have any other issues concerned with the application or interpretation of this guidance, please contact your local LSC.
- 9 You can find contact details for your local LSC using the ‘Regions’ section of the LSC web site: [www.lsc.gov.uk/regions](http://www.lsc.gov.uk/regions)

### **Section 3: The Learning and Skills Council**

- 10 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.
- 11 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**

- 12 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.
- 13 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.
- 14 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.

- 15 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.
- 16 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**

- 17 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: Background**

- 18 The ESF SR ILR form is used to record details of activities undertaken by individuals on LSC funded small programmes. Co-financing is the process of matching European Social Fund (ESF) with other eligible LSC budgets to enable additional support to be provided in the local LSC area. Data from the ESF SR ILR forms may, by agreement with local offices, be used to support the receipt of ESF funds in the form of co-financed activity.
- 19 The ESF Short Record (ESF SR) Individualised Learner Record (ILR) form has been introduced to reduce the burden of collecting ILR data for small LSC funded programmes. The ESF SR ILR is a reduced data collection that has been agreed with partners to minimise the burden on the beneficiary and provider and ensures that data collection arrangements do not become a barrier to learning for Individuals wishing to take advantage of LSC funded programmes.
- 20 The ESF SR ILR data provides comprehensive detail to manage accurate remuneration to providers and monitor LSC ESF co-financing funding made on profile against actual activity. Data derived from the ESF SR ILR is used by the LSC to manage and monitor ESF co-financed provision and to inform the development of LSC policy. Where relevant the data is used to substantiate LSC ESF co-financing claims for support from the European Social Fund (ESF) where the local LSCs are dispersing ESF funds.

## Section 5: Coverage

- 21 The ESF SR ILR should **NOT** be used to collect data systematically about learners whose activity does not involve LSC ESF co-financing, either funded by ESF co-financing or used as match for ESF co-financing. The following small programmes can be funded by ESF co-financing or used for ESF match:
- Information, Advice and Guidance (IAG);
  - Local Intervention and Development Funding (LID);or
  - Education Business Link (EBL).
- 22 The ESF SR ILR may also be used to record learners on ACL provision used as match for ESF co-financing.
- 23 A learning aim is a qualification such as an NVQ or a non-qualification such as XESF0001, which is a generic code for an ESF co-financed learning aim, or XMAT0001 which is a generic code for other small programmes which may be used as match for ESF funding. For guidance on the learning aim codes to be used, see field A09.
- 24 For enhanced beneficiaries, that is where the learner is both funded by ESF co-financing and being used as match for ESF co-financing, only one ESF SR form should be completed. However, **two** learning aim records must be returned for the learner, one for the ESF co-financed aim and the other for the aim being used as match. The entries in the fields will be the same for both records, with the exception of the Learning aim reference, field A09 and the LSC funding stream, field A10.  
The ESF co-financed aim will have an entry of '70' in the LSC funding stream, field A10. The aim being used as match for ESF co-financing will have an entry of either '10' for ACL funded aims or '80' for other small programmes funded by an LSC funding stream other than WBL, FE or ACL.

## Section 6: Individualised Learner Record 2007/08

### Use of ILR data

- 25 The data returned on the ESF SR ILR form will be input on the national ILR database. The prompt transmission of Individualised Learner Record (ILR) data is in accordance with the Learning and Skills Council (LSC) contract with the provider.
- 26 Due to the requirements of the ESF co-financing framework and the increasing need for comprehensive information about the delivery of learning, the LSC will be regularly talking to providers about their performance in ensuring these forms are handled effectively.
- 27 The ILR provides the LSC with management information (MI), including performance indicators, which is used to manage the current programmes

and also to assist with the design of future programmes. The learner data gathered will provide information to Parliament about the effectiveness of the learning programmes in terms of whom they reach, what learning they receive, and what outcomes are achieved subsequently.

### **Transmitting ILR data to the LSC**

- 28 The provider contracted with the LSC is contractually obliged to transmit ILR data to the LSC. Providers must gather data directly from learners; this can be done remotely at the placement, or at the provider, or by the sub contractor. Providers are required to ensure that the requirements of the data protection act are maintained at all times. The learner must sign the ESF SR ILR form to confirm that the details provided are correct.
- 29 There are two routes to transmit ILR data to the LSC.
- **Provider On-Line.** This option is for use by smaller providers, and will give them access to key their data direct to the LSC database at via a secure internet portal. Your local LSC will provide guidance for this option.
  - **Provider Batch.** This option is best suited for large providers with their own MI systems. Providers will produce a batch file from their MI system and load it via the secure portal to the LSC database.
- 30 Providers must ensure that data is received at the LSC by the 10th working day following the last day of the month. The ESF SR ILR is a reduced data collection. The data returned on the ESF SR ILR form will be managed and input on the national ILR database. Where an ILR field is not required in the ESF SR ILR, return the null value. For providers using Provider On-Line, this will be done automatically.
- 31 Providers using Provider Batch are encouraged to submit data regularly and should not wait until the week preceding the deadline before transmitting data. Up to 999 transmissions can be made in a month. Providers must indicate where a NIL return is applicable for a given collection using the LSC web portal.

## Collection timetable

| Collection | Month        | In learning census date | Deadline for the return of ESF SR data (10 <sup>th</sup> Working Day after last day of the month) |
|------------|--------------|-------------------------|---|
| 1          | August 07    | 31/08/07                | 14/09/2007  |
| 2          | September 07 | 30/09/07                | 12/10/2007  |
| 3          | October 07   | 31/10/07                | 14/11/2007  |
| 4          | November 07  | 30/11/07                | 14/12/2007  |
| 5          | December 07  | 31/12/07                | 15/01/2008  |
| 6          | January 08   | 31/01/08                | 14/02/2008  |
| 7          | February 08  | 29/02/08                | 14/03/2008  |
| 8          | March 08     | 31/03/08                | 14/04/2008  |
| 9          | April 08     | 30/04/08                | 15/05/2008  |
| 10         | May 08       | 31/05/08                | 13/06/2008  |
| 11         | June 08      | 30/06/08                | 14/07/2008  |
| 12         | July 08      | 31/07/08                | 14/08/2008  |

## Migration

- 32 Migration is the process by which ESF SR ILR data is converted from the ILR 2006/07 format, to the ILR 2007/08 format. It will be applied using the 2006/07 ILR database and for each learner that does not have an actual end date set, the process will format and write all of the relevant records to the 2007/08 ILR database. The format and content of the 2006/07 database will be unchanged by the migration process.
- 33 POL (Provider On-Line) providers will have data migrated automatically in August 2007. It is essential that providers using Provider Batch ensure that their software supplier sets up their system according to the '*ILR Specification for 2007/08*' as although all live records will be migrated, the first time a batch file is received the existing migrated data will be overwritten with that contained in the first file received. Migration guidance has been published on the LSC website in Annex B of the '*ILR Specification for 2007/08*'.

## Section 7: ESF SR ILR Form 2007/08

### Contents and Format

- 34 The ESF SR ILR form comes in two parts:
- a. The first page for recording ESF beneficiary and match details, separated into 3 sections;
  - b. A second page containing the quick reference “pick list” of valid codes to help with the completion of page 1.
- 35 A unique twelve digit alphanumeric Individual Reference Number (learner reference number L03) is used as the identifier for an individual *within* a provider. This number must remain unique for that individual for all subsequent intervention events with that provider.
- 36 Captured within the ESF SR ILR is the following information in respect of an individual:
- personal details;
  - status;
  - destination on completion / early termination of learning.

There is also a separate Additional Aims ESF SR form, described in paragraph 47, which can be used for recording additional aims for a learner.

### Changes from 2006/07

- 37 Data entry format changes for the following fields:
- Field L23 (Telephone number) – see page 18
  - Field E22 (Project dossier number) – see page 22
- 38 Update of requirements for the following field:
- Field A46 (National learning aim monitoring) – see page 28
- 39 Updated Web links throughout the document.

### Retention of documentation

- 40 Providers should retain the original ESF SR ILR form for their own records and audit purposes. Original/copies should be retained by the provider in accordance with the European Commission audit requirements.

## **Section 8: Index of 2007/08 ESF SR form questions**

- 41 Each question on the ESF SR ILR form relates directly to a field in the LSC ILR database. The question numbers on the form are the same as the ILR database field numbers. However, the titles of some of the questions on the ESF SR ILR form differ slightly from the ILR database field name. Where this occurs, the full name is shown in addition to the question title in the table.
- 42 In this manual, guidance on how to complete each ESF SR ILR question is provided in Section 8: Information on ESF SR ILR questions in the order in which the question appears on the ESF SR ILR form.
- 43 Table 1 on the next page shows the page number on which each ESF SR ILR question appears in the manual. The table is shown in question number order for quick reference. The key to the question number prefix is: L= question about the learner; A= question about the learning aim; E= ESF co-financing question

Table 1. Index of 2007/08 ESF SR Form questions

| ESF SR ILR form question number                    | Page | ESF SR ILR form question number   | Page |
|--|------|---|------|
| L01 Provider number (UPIN)                         | 21   | E08 Date started ESF co-financing (Learning start date A27)               | 27   |
| L/A03 Learner ref. no.                             | 21   | E09 Planned end date for ESF co-financing (Learning planned end date A28) | 27   |
| L09 Learner surname                                | 16   | E10 Date ended ESF co-financing   | 31   |
| L10 Learner forenames                              | 16   | E11 Industrial sector of learner's employer                               | 25   |
| L11 Date of birth                                  | 18   | E12 Employment status on day before starting ESF project                  | 24   |
| L12 Ethnicity                                      | 19   | E13 Learner's employment status   | 25   |
| L13 Sex  | 18   | E14 Length of unemployment before starting ESF project                    | 25   |
| L14 Learning Difficulties/Disabilities             | 18   | E15 Type and size of learner's employer                                   | 25   |
| L17 Home postcode                                  | 17   | E16 Addressing gender stereotyping  | 27   |
| L18 to L21 Home Address                            | 16   | E18 Delivery Mode   | 28   |
| L23 Contact Telephone Number (inc STD code)        | 18   | E19 Support measures to be accessed by the learner                        | 28   |
| L25 LSC Number                                     | 21   | E20 Learner background  | 25   |
| L27a and L27b (L27 Restricted use indicator))      | 19   | E21 Support measures for learners with disabilities                       | 26   |
| L35 Prior attainment level                         | 26   | E22 Project dossier number  | 22   |
| L39 Destination                                    | 30   | E23 Local project number  | 23   |
| L42 Provider specified learner data                | 28   | E24 Unique Learner number   | 21   |
| A09 Learning aim reference number                  | 23   | E25 UK Provider Reference Number  | 21   |
| A10 LSC funding stream                             | 27   |   |      |
| A23 Delivery location postcode                     | 22   |   |      |
| A24 SOC code (Occupation relating to learning aim) | 26   |   |      |
| A34 Completion status                              | 30   |   |      |
| A35 Learning outcome                               | 30   |   |      |
| A46 National learning aim monitoring               | 28   |   |      |
| A49 Special projects and pilots                    | 28   |   |      |

## Section 9: Completing the ESF SR ILR Form

### Ensuring completion / checking of data fields

- 44 The recording of an invalid entry on the ESF SR ILR form will be identified when the data is transmitted to the LSC. Invalid field entries will then have to be corrected on the form and signed for audit purposes.

### Change notifications on the ESF SR ILR form

- 45 The ESF SR ILR form has been designed to enable you to record details about the learner and the learning aim they are studying. It is possible that this information will be subject to change resulting from a change in circumstances of the learner.
- 46 Data on an individual record can be amended. Such amendments are effected through the completion of the appropriate part of the ESF SR ILR form and by marking the Change Notification box with a cross. The learner must sign and date the document. A change in provider is deemed as a new intervention and requires completion of a new ESF SR ILR form and allocation of a new learner reference number.

### Key data to identify the individual

- 47 To enable identification of the learner record to which changes are being made, certain key information needs to be shown as follows:

| Question number | Question name            |
|-----------------|--------------------------|
| L/A03           | Learner reference number |
| L/A/E24         | Unique learner no        |
| L09             | Learner's surname        |
| L10             | Learner's forename       |
| L25             | LSC number               |
| L01             | Provider number (UPIN)   |
| L46/A56/E25     | UK provider reference no |

### Using the Additional Aims ESF SR form

- 48 The Additional Aims ESF SR form can be used to record learning aim information where an ESF Short Record ILR Form has already been completed for the learner.
- 49 If an ESF Short Record ILR Form has not been completed for the learner, you must not use the Additional Aims ESF SR form.
- 50 At the top of the Additional Aims form are the key fields that should be completed to identify the original ESF Short Record ILR Form. If these key

fields are not completed, you may not be able to relate the additional aims back to the original ESF Short Record ILR Form.

- 51 Below the key fields are two copies of fields from section 2 of the ESF Short Record ILR Form, one on each side. This allows information about two additional learning aims to be recorded. You should ensure that information is recorded to enable a full ESF SR ILR return to be correctly completed.
- 52 The Additional Aims ESF SR form can be downloaded from the same page as the ESF Short Record ILR Form:  
[www.lsc.gov.uk/providers/Data/Datacollection/ILR](http://www.lsc.gov.uk/providers/Data/Datacollection/ILR)

## Section 10: Information on ESF SR ILR questions

### Section 1 of the ESF SR ILR form

This section is to be completed by the individual at the start of the ESF intervention with the help of the employer/provider where necessary. It is the responsibility of the employer/provider to check that all of the required information is provided.

#### L09 Learner surname

The surname or family name of the learner. This information is needed so that the LSC can monitor learning by using surveys and to match data so that the LSC can monitor progression, retention and achievement.

This field should not include maiden names for example 'Jones - nee Smith' or 'Jones - was Smith'.

#### L10 Learner forenames

The forenames (first names) of the learner. As many learner first names as will fit into the field, should be provided.

Forenames should be shown in full. Nicknames or abbreviations for example Gareth shortened to Gaz or Sarah shortened to Sars should not be used.

This information is needed to inform surveys and match data to monitor progression, retention and achievement. It will be used:

- by the LSC and partner organisations for matching records for statistical purposes (information on partner organisations and the data protection statement can be found at Annex F of the '*Specification of the Individualised Learner Record for 2007/08*' with further information on the LSC website)
- by the LSC in surveys
- by the LSC to send further information to learners

#### General guidance for address fields L18 to L21 Home Address

This address is the learner's current place of residence. Where a learner is living away from home, this address should relate to the current postcode field, field L22.

Valid entries are alphabetic characters, commas, hyphens, apostrophes, slashes, full stops, spaces and numeric digits only. For reasons of security, MOD learners should enter their base address. The address, postcode and telephone number should not be supplied for any learners who would be placed at risk by supplying their personal details. For these learners the provider's address should be supplied.

### **L18 Home Address**

The first line of the address of the learner's current place of residence. This will normally include the house/flat number/house name and the street name.

### **L19 Home Address**

The second line of the address of the learner's current place of residence. This will normally be additional locality information such as the village or suburb.

### **L20 Home Address**

The third line of the address of the learner's current place of residence. This will normally be the town or city name.

### **L21 Home Address**

The fourth line of the address of the learner's current place of residence. This field is optional and is not required if the learner's full address can be held in the first three lines. This will normally be the county name.

### **L17 Home postcode**

The permanent or home postcode of the learner prior to enrolling at the provider. Needed in order to establish catchment areas for monitoring adequacy and sufficiency of provision, for demographic analysis, to support disadvantage uplift and to monitor recruitment and home to study patterns.

Where the country of domicile of the learner is not a UK country this field must be left blank. Homeless learners or where the postcode is not supplied for learners who would be placed at risk by supplying their address should use the provider's postcode. For any learners whose home address is British Forces Post Office (BFPO) the standard postcode to return is NW7 1PX. MOD learners should enter 'the base' postcode. This may, in the future, impact funding for providers.

Where the home postcode of a learner is not known, then providers should use ZZ99 ZZZ. If the outward part of the postcode, the first part, is known but the inward part, the second part, is not known, then the known outward part should be returned and ZZZ should be returned in the inward part.

Experience shows that postcodes may be obtained for almost all learners. Providers may be asked to explain the reason for a high incidence of missing codes compared to other similar providers and where this explanation is not reasonable, to supply data containing more complete postcode information. **Full valid postcodes can be located at the Royal Mail Postcode finder website, [www.postoffice.co.uk](http://www.postoffice.co.uk).**

### **L23 Contact Telephone Number (inc STD code)**

The home telephone number of the learner. Needed for learner surveys. The telephone number should not contain any spaces at all including between the STD code and main number. This change has been introduced from 2007/08 to align the ILR with the Managing Information Across Partners (MIAP) common data definition standard. A validation rule will be introduced for 2007/08 to reject any telephone numbers which are not in the correct format.

For example, (01234) 567890 needs to be entered in as 01234567890, and non-UK telephone numbers as 0033680505443.

A telephone number is not required if the learner has indicated in field L27 that they do not wish to be contacted for research purposes.

### **L11 Date of birth**

The date of birth of the learner. This is needed so that the LSC can determine eligibility and funding rate, monitor and report on provision by learner's characteristics, monitor equality and diversity, inform local and national planning.

The learner's date of birth should be given in the date pattern DD/MM/YYYY. For example 2nd June 1984 would be given as 02/06/1984. A date of birth must be supplied and this field should not be left blank.

### **L13 Sex**

The sex of the learner. This information is required so that the LSC can describe the structure and nature of the learner population in the sector.

When transmitting the ILR to the LSC, one of the valid codes must be used as shown below.

|        |   |
|--------|---|
| Female | F |
| Male   | M |

### **L14 Learning Difficulties/Disabilities**

This records whether the learner considers that they have a long term learning difficulty, disability or health problem. It is needed so that the LSC can monitor the distribution of learners with learning difficulties, disabilities or health problems. The LSC needs to be aware of all LSC funded learners with learning disabilities and/or disabilities not just those for whom additional support is provided. In discharging its functions for the provision of education and training the LSC must have regard to the needs of persons with learning difficulties and/or disabilities.

This field should be completed on the basis of the learner's self-assessment, where they are able to do so. The LSC recognises that many learners will not be able to identify themselves as having learning difficulties. In such cases, this information can be recorded as a result of interviews with learners, their parents, guardians, teachers or advocates.

Enter Y or N in the box as appropriate. If the learner provides no information leave the boxes blank. When transmitting the ILR to the LSC, one of the valid codes must be used as shown below:

- 1 learner considers himself or herself to have a learning difficulty and/or disability and/or health problem
- 2 learner does not consider himself or herself to have a learning difficulty and/or disability and/or health problem
- 9 no information provided by the learner

### **L12 Ethnicity**

The ethnic origin of the learner, based on the 2001 census. This is needed so that the LSC can monitor the distribution of ethnic groups amongst learners.

Learners should tick the appropriate box. Learners whose ethnic origin is not listed or feel that they cannot be classified in any other category should tick the 'Any other' box. Learners who do not wish to supply information about their ethnicity should tick the 'Not Known / Not Provided' box.

When transmitting the ILR to the LSC, one of the valid codes on the ESF SR code table should be used.

### **L27a and L27b (L27 Restricted use indicator)**

Indicates restrictions on the use of the learner's data. Other users are defined as partner organisations as at annex F of the '*ILR Specification for 2007/08*'. They may receive aggregated information on learners rather than whole data sets. The LSC have published data sharing protocols that can be found on the LSC website.

'3' should be used when a learner has said they do not wish to be sent information about courses or learning opportunities, but have not withheld permission to be contacted for research or surveys.

'4' should be used where a learner has indicated they do not wish to be contacted by telephone or post by the LSC or it's partner organisations, for the purposes of surveys and research, but have not withheld permission to be contacted by post about courses or learning opportunities.

The table below shows how the boxes on the ESF SR ILR form should be completed to identify each of the valid codes.

| <b>L27a</b> | <b>L27b</b> | <b>(tick applicable box)</b> |   |
|-------------|-------------|------------------------------|---|
| ✓           | ✓           | 1                            | learner has withheld permission for the LSC or other users to contact them                                  |
| 2           | 2           | 2                            | learner is not to be contacted, for example where a learner has died, or suffered severe illness during the |

|       |       |   |  |
|-------|-------|---|--|
|       |       |   | programme  |
|       | ✓     | 3 | learner has only withheld permission to be contacted about courses or learning opportunities by post |
| ✓     |       | 4 | learner has only withheld permission to be contacted for survey and research                         |
| blank | blank | 9 | no additional restrictions on the use of this learners record  |

## Section 2 of the ESF SR ILR form

### L/A03 Learner ref. no. (Learner reference number)

The learner's identifier number assigned by the provider. This is needed to enable the learner to be identified for matching purposes, to maintain data integrity and assist with query resolution.

Use a code in the format BBBB BBBB BBBB which can be any combination of 12 alphabetic characters or numeric digits, assigned by the provider to be used as a learner reference number. This number should be retained by the learner for any period of study with you and should not be reused for a different learner. This number should be retained following any period of absence. The Learner Reference Number will be automatically generated for a learner for providers using the Provider On-Line systems.

### E24 Unique Learner number

The learner's unique learner number (ULN), as held on the unique learner number register, obtained from the **MIAP Learner Registration Service, due to be available from September 2007.**

**Provider software suppliers will be offered facilities and support by MIAP to enable the learner's ULN to be obtained electronically.**

**During 2007/08, it is expected that the LSC Provider MI Systems will become integrated with MIAP, and providers with this facility will be expected by the LSC to register their learners with a ULN.**

**For those providers which are not taking part in the unique learner number (ULN) project the null value should be used.**

### L25 LSC Number (LSC number of funding LSC)

The LSC number of the local LSC that funds the learner. The full list of LSC numbers is included at annex E of the *'ILR Specification for 2007/08'*.

### L01 Provider number (UPIN)

The provider number of the provider contracted by the LSC to provide learning to this learner. This is needed to identify the contracted provider. You should contact your local LSC at the start of the contracting year to check that your provider number has not been changed. If you are uncertain of your provider number contact your local LSC

### E25 UK Provider Reference Number

The UK provider reference number as defined in the UK Register of Learning Providers (UKRLP) **and can be found at [www.ukrlp.co.uk](http://www.ukrlp.co.uk).**

This field will be collected in addition to the existing UPIN, field E01.

Providers who have not been notified of their UKPRN need to contact the UKRLP and register with them.

Providers who have not been assigned a UK provider reference number should use the null value.

### **A23 Delivery location postcode**

The postcode of the address at which the learning is delivered. This is used to monitor delivery of learning, to support local planning and to monitor delivery of national contracts. Use a valid postcode, see Annex C of the 'ILR Specification for 2007/08' for further information. The delivery location at the start of learning should be supplied. Where delivery is at more than one location, return the postcode of the location at which the majority of learning is delivered. There is no requirement for providers to update this information if the learner's delivery location changes.

Completion of this field is particularly important for providers contracted with the National Employer Service (NES).

### **E22 Project dossier number (priority level)**

Required to identify the learner for direct or indirect ESF funding. Use a valid dossier number for the project, which is shown on the contract as supplied by your local LSC. It should contain nine characters and conform to the following format:

AABBBBCCDD, where

|      |   |
|------|---|
| AA   | the year, either 00, 01, 02, 03, 04, 05, 06 or 07           |
| BBBB | a four digit number   |
| CC   | the region, either EA, LN, EM, NE, NW, SE, SW, WM, YH or ME |
| D    | the objective, wither 1, 2 or 3                             |

*An example is 001020EM3*

Learners being financed under the new ESF Co-financing New Plan 2007/13, which commences in January 2008, will need to use the new format of Project Dossier Number as shown below:

|     |   |
|-----|---|
| AA  | the year, either 07, 08, 09 or 10-15                                |
| BBB | a three digit number  |
| C   | the letter "L" representing the LSC as the CFO organisation         |
| DD  | the region, either EA, LN, EM, NE, NW, SE, SW, WM, YH, ME, SY or CO |
| E   | the priority, either 1, 2, 3, 4, 5 or 6                             |

An example is 00102LEM3

For ESF indirect beneficiaries, that is where learners are being identified as match only, this field may not be required, and the box can be left blank on the ESF SR form. Your local LSC will inform you of whether this field needs to be completed for matched learners.

### **E23 Local project number**

Required to identify the learner for direct or indirect ESF funding. Enter a valid code using numeric characters 0-9 only as supplied by your local LSC. For further guidance contact your local LSC.

For ESF indirect beneficiaries, that is where learners are being identified as match only, this field may not be required, and the box can be left blank on the ESF SR form. Your local LSC will inform you whether this field needs to be completed for matched learners.

### **A09 Learning aim reference number**

The learning aim reference code for the learning being undertaken.

For small programmes and ACL funded programmes that lead to externally certificated learning aims, use a valid entry from the learning aim database (LAD). The status must not read 'code unavailable' or in the case of new starters 'code unavailable for new starters'.

For learning that does not lead to an externally certificated learning aim, a class code should be used, these begin with the prefix Z90AC and can be found at paragraph 2c in annex H of the '*Specification of the ILR for 2007/08*'.

For ESF activities that do not involve learning, ie. support activities, use the generic code XESF0001 for ESF funded provision or XMAT0001 for match provision. For learning financed under the new ESF Co-financing New Plan 2007/13 additional aims categorised as "soft outcomes" on the LAD can also be used.

For enhanced beneficiaries, enter the learning aim reference for the ESF funded aim on the ESF SR ILR form.

Please note, when transmitting ILR data for enhanced beneficiaries to the LSC, you will need to create two learning aim records. For one record use the learning aim reference for the ESF funded aim as entered on the ESF SR ILR form, and for the other record use the learning aim reference for the learning aim being used as match for ESF co-financing.

## E12 Employment status on day before starting ESF project

This field is used to identify the status of the learner on the day before starting the project. It is required for claims to government office and to establish eligibility for ESF.

| Code | Value                  |
|------|------------------------|
| 01   | employed               |
| 02   | full time education    |
| 03   | self employed          |
| 04   | unemployed             |
| 05   | still at school        |
| 06   | economically inactive  |
| 98   | not known/not provided |

Where the aim is ESF funded you must not use not known/not provided in this field.

Code 06 should be used to record learners who are economically inactive, defined as:

- Of working age
- Not employed
- Not self employed
- Not actively seeking work
- Not in full time education

This is a key field for the ESF data set. The code you return in this field will affect the values you can return in:

- Industrial sector of learner's employer, field E11;
- Learner's employment status, field E13;
- Length of unemployment before starting, field E14; and
- Type and size of learner's employer, field E15.

For guidance on the interrelationship of fields E11-E15 please see Annex A '*Completing the fields E11-E15*'.

Where the aim is ESF funded and the learner is employed, self employed or unemployed; you must not use 'not known' or 'not provided' values in any of the above fields. Where you are returning information to be used as match, you may in exceptional circumstances return 'not known' or 'not provided' values in these fields. However, you should be aware that this will make the learner ineligible for match funding and they cannot be counted towards learner number targets.

Volunteers can be recorded as employed, this also includes retired learners who are undertaking voluntary work.

#### **E11 Industrial sector of learner's employer**

The industrial sector of the learner's employer on the day before starting the project. Required to establish eligibility for ESF funding and to allow evaluation of the effectiveness of ESF funded programmes.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

#### **E13 Learner's employment status**

This field is used to identify the employment status of the learner on the day before starting the ESF project. Required for claims to government office. The appropriate box should be ticked.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

#### **E14 Length of unemployment before starting ESF project**

For learners who are unemployed, this field is used to identify the length of time spent as unemployed prior to joining the ESF project. Required for claims to government office.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

#### **E15 Type and size of learner's employer**

This field is used to identify the type of employer the learner is employed with, as required for claims to government office.

| <b>Code</b> | <b>Value</b>               | <b>Use this code for</b>   |
|-------------|----------------------------|--|
| 01          | public sector organisation | publicly funded organisations (colleges, councils, government departments) |
| 02          | small/medium enterprise    | Not valid for new starters from 1 August 2006                              |
| 03          | large organisation         | companies employing more than 250 employees                                |
| 04          | Micro SME                  | companies employing between 1 and 9 employees                              |
| 05          | Small SME                  | companies employing between 10 and 49 employees                            |
| 06          | Medium SME                 | companies employing between 50 and 249 employees                           |
| 98          | not known / not provided   |  |
| 99          | not employed               |  |

#### **E20 Learner background**

This field indicates the background of the learner and is required to monitor disadvantage. Providers should not systematically collect information about

sensitive items of data such as 'recovering from alcohol or drug dependency' or 'ex-offender'. This box should be left blank unless providers become aware of learners in such categories while counselling or supporting them, when they may record the learner background. Enter all that apply, leaving the remaining boxes on the ESF SR ILR form blank.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

### **E21 Support measures for learners with disabilities**

This field indicates whether the individual has a specific support measure with respect to their disability for the project. The codes should be used for disabled learners only. For other learners, leave the box on the ESF SR ILR form blank.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

### **L35 Prior attainment level**

The learner's prior attainment before starting the current programme. Needed in order to analyse the level of prior attainment of learners and to help with value-added analyses.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

For a full list of level definitions please see Annex G of the '*ILR Specification for 2007/08*'.

### **A24 SOC code (Occupation relating to learning aim)**

The SOC 2000 code that relates to the learning aim. A SOC code is required for co-financed delivery where it is relevant to the provision being funded.

Enter the first digit of most appropriate SOC code as shown in the table below. For your convenience the remaining three zero's have been pre-entered onto the form. The type and content of learning and/or qualification being undertaken determines the code to be used. For example, an office worker undertaking learning in administration whilst working at a retail firm would be categorised as 4-Clerical and Secretarial as opposed to 7-Sales.

For learning aims that are not vocationally focused, the box on the ESF SR ILR form should be left blank to denote that the question is not applicable. When transmitting the ILR to the LSC, one of the valid codes must be used as shown below. Where the boxes have been left blank, use the null value.

| <b>SOC Major Group</b> | <b>Description</b>        |
|------------------------|---------------------------|
| 1000                   | Managers & Administrators |
| 2000                   | Professional              |

|      |                                    |
|------|------------------------------------|
| 3000 | Associate Professional & Technical |
| 4000 | Clerical & Secretarial             |
| 5000 | Craft & Related                    |
| 6000 | Personal & Protective              |
| 7000 | Sales                              |
| 8000 | Plant & Machine Operatives         |
| 9000 | Other                              |

### **E16 Addressing gender stereotyping**

This field is used to identify learners who are employed, training or receiving work experience in non-traditional areas for their sex. Enter all codes that apply, leave the remaining boxes blank on the ESF SR ILR form.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

### **A10 LSC funding stream**

You should identify the source of any LSC funding for this learning aim. The appropriate box should be ticked. When transmitting the ILR to the LSC, one of the valid codes must be used as shown below.

| <b>Valid codes</b> |   | <b>Use this code for</b>   |
|--------------------|---|--|
| 70                 | LSC ESF co-financed   | a learning aim that is 100% ESF co-financed ('direct beneficiary')   |
| 80                 | other LSC funding stream (further details may be requested) | a learning aim funded by an LSC funding stream other than WBL, FE or ACL that is being used for ESF match funding. |
| 10                 | Adult and community learning                                | a learning aim that is ACL funded and is being used for ESF match funding  |

### **E08 Date started ESF co-financing (Learning start date A27)**

The date at which an individual is attributed to an LSC ESF co-financing package (which should be equal to the learning start date). Required to ensure that LSC co-financing is attributed. Record a valid date, using the date pattern DD/MM/YYYY (the year should be shown in full with four digits).

For example, 17 January 2004 appears as 17/01/2004. Dates before 1 September 2001 or after 31 July 2008 are not valid.

For match funded aims record the date on which learning for this learning aim began (the start date of the training activity).

### **E09 Planned end date for ESF co-financing (Learning planned end date A28)**

The date at which an individual is expected to cease funding eligibility for ESF co-financing. Record a valid date, using the date pattern DD/MM/YYYY (the year should be shown in full with four digits).

For example, 17 January 2007 appears as 17/01/2007. Dates before 1 August 2001 are not valid.

Record the date by which you and the learner plan to complete the learning for this learning aim. Do not change field E09 if the learner continues studying beyond this planned end date. Field E10 should be used to record the learning actual end date.

#### **E18 Delivery Mode**

This field is used to identify the delivery modes of the learning. Enter all codes that apply, leaving the remaining boxes blank on the ESF SR ILR form.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

#### **E19 Support measures to be accessed by the learner**

This field is used to identify support given to the learner. Enter all codes that apply, leaving the remaining boxes blank on the ESF SR ILR form.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

#### **A46 National learning aim monitoring**

This field is used to identify participation in programmes or initiatives. Enter up to two codes that apply, leaving any remaining boxes blank on the ESF SR ILR form.

If only one national learning aim monitoring code id being used, this code should be entered in A46a.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

#### **A49 Special projects and pilots**

This field is used to identify participation in special projects and pilots. Where none apply, leave the box blank on the ESF SR ILR form.

Codes will be issued to providers that are involved in special projects or pilots, by the LSC directorate responsible for running the project or pilot. A full list of valid codes is at Annex N of the '*ILR Specification for 2007/08*'.

#### **L42 Provider specified learner data**

This field is for use by providers, to help analyse the ILR to their own requirements. Leave any remaining boxes blank on the ESF SR ILR form.

### Section 3 of the ESF SR ILR form

#### A34 Completion status

Use this to record how complete the learning activities leading to the learning aim are. This should reflect the situation at each transmission date.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

#### A35 Learning outcome

Indicates whether the learner achieved the learning aim, achieved partially or had no success. Required for the purpose of performance indicators and management information. This field does not affect achievement funding.

| Valid codes |   | Use this code when  |
|-------------|---|---|
| 1           | Achieved  |   |
| 2           | partial achievement   | the learner has completed the learning activities, has not achieved the learning aim, but has passed at least one of the credits or modules leading towards the learning aim. |
| 3           | no achievement  | the learner has not achieved or has decided not to take the exam/be assessed  |
| 4           | exam taken/assessment completed but result not yet known  |   |
| 5           | learning activities are complete but the exam has not yet been taken and there is an intention to take the exam | all learning activities have been completed but assessment has not yet taken place.   |
| 9           | study continuing  |   |

Codes 4 and 5 are classified as unknown outcomes.

#### L39 Destination

Identifies the destination of the learner after completion of learning. To monitor learner destinations and effectiveness of learning with respect to employment. This field should not be completed unless the learner has left the provider.

A full list of codes can be found in the ESF SR code table or the '*ILR Specification for 2007/08*'.

Code 75 should be used for learners who have entered education or training that is not further education (code 54) or higher education (code 55).

### **E10 Date ended ESF co-financing (Learning actual end date A31)**

The actual date at which an individual ceases to be part of an ESF co-financing package. Required for funding. Record a valid date, using the date pattern DD/MM/YYYY.

For example, 17 January 2007 appears as 17/01/2007. Dates before 1 August 2001 are not valid.

The same date should be recorded in A31 – Learning actual end date. Record the date that the learner completed the learning activities necessary to achieve the learning aim or the date the learner withdrew from the learning activities. This is needed for funding calculations. You must leave this box blank until the learning actual end date is known and the learner has finished.

You must complete this field when the Completion status, field A34, is returned with a value other than 1.