Preparing for ILR R04 2020/21 (all funding streams)

25 November 2020

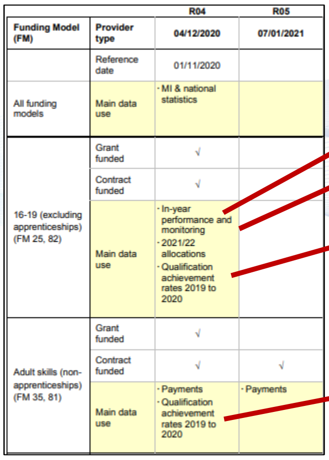
Nick Linford

ILR R04 deadline in 7 working days from now

4 December 2020 with reference date of 01/11/2020

R04 is used for in-year payments, past performance and future allocations

Compare how much more important it is than R05



		R04	R05
Funding Model (FM)	**Provider type**	**04/12/2020**	**07/01/2021**
	Reference date	01/11/2020	
All funding models	Main data use	· MI & national statistics	
16-19 (excluding apprenticeships) (FM 25, 82)	Grant funded	√	
	Contract funded	√	
	Main data use	· In-year performance and monitoring · 2021/22 allocations · Qualification achievement rates 2019 to 2020	
Adult skills (non-apprenticeships) (FM 35, 81)	Grant funded	√	
	Contract funded	√	√
	Main data use	· Payments · Qualification achievement rates 2019 to 2020	· Payments

For 16-19s the R04 is used across 3 years

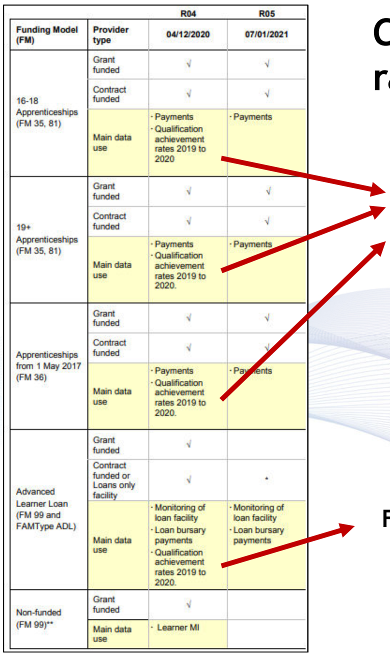
In-year monitoring (2020/21)

Setting allocation for next year (2021/22)

Finalising last year achievement rates (2019/20)

For AEB the R04 is used mainly important for achievement rates (2019/20)

http://assets.ctfassets.net/6h6ixebbpdwm/5ZqvZqReg73Qu3GfdhcWbr/1f3b5ebe03ab23cae6fb8fd5443f61d1/Appendix_A__Version_1__February_2020.pdf



		R04	R05
Funding Model (FM)	**Provider type**	**04/12/2020**	**07/01/2021**
16-18 Apprenticeships (FM 35, 81)	Grant funded	√	√
	Contract funded	√	√
	Main data use	· Payments · Qualification achievement rates 2019 to 2020	· Payments
19+ Apprenticeships (FM 35, 81)	Grant funded	√	√
	Contract funded	√	√
	Main data use	· Payments · Qualification achievement rates 2019 to 2020.	· Payments
Apprenticeships from 1 May 2017 (FM 36)	Grant funded	√	√
	Contract funded	√	√
	Main data use	· Payments · Qualification achievement rates 2019 to 2020.	· Payments
Advanced Learner Loan (FM 99 and FAMType ADL)	Grant funded	√	
	Contract funded or Loans only facility	√	*
	Main data use	· Monitoring of loan facility · Loan bursary payments · Qualification achievement rates 2019 to 2020.	· Monitoring of loan facility · Loan bursary payments
Non-funded (FM 99)**	Grant funded	√	
	Main data use	· Learner MI	

Critical for achievement rate calculation

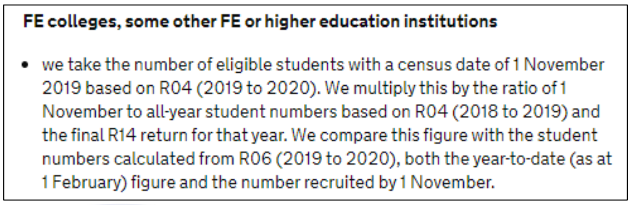
For apprenticeships the R04 is mainly important for achievement rates (2019/20)

For advanced learner loans the R04 is mainly important for achievement rates (2019/20)

http://assets.ctfassets.net/6h6ixebbpdwm/5ZqvZqReg73Qu3GfdhcWbr/1f3b5ebe03ab23cae6fb8fd5443f61d1/Appendix_A__Version_1__February_2020.pdf

ILR R04 used for 16-19 allocations at colleges

This is how ESFA describe use of R04 for 2020/21 allocations



FE colleges, some other FE or higher education institutions

- we take the number of eligible students with a census date of 1 November 2019 based on R04 (2019 to 2020). We multiply this by the ratio of 1 November to all-year student numbers based on R04 (2018 to 2019) and the final R14 return for that year. We compare this figure with the student numbers calculated from R06 (2019 to 2020), both the year-to-date (as at 1 February) figure and the number recruited by 1 November.

So for 2021/22 allocations ESFA will:

Create ratio from 2019/20 R04 to R14
(e.g. extra 10% recruited in-year would be 1.1)

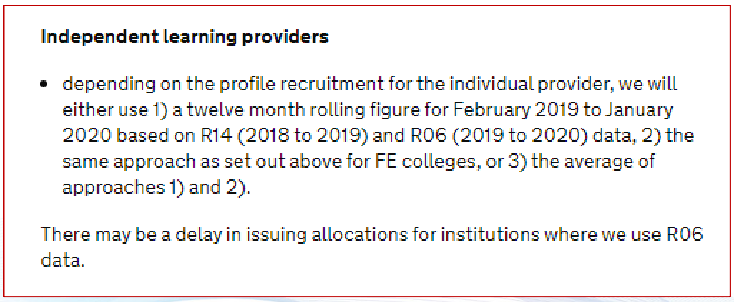
Take a funded learner count from R04 2020/21
(e.g. 2,000 16-19s)

Multiply the learner count by the ratio for allocation
(e.g. 2,000 x 1.1 = 2,200 16-19 allocation for 2020/21)

So R04 vital to get total funded learner number right and on average each learner worth £4,842

https://www.gov.uk/guidance/16-to-19-education-funding-allocations

ILR used for 16-19 allocations at ILPs



Independent learning providers

- depending on the profile recruitment for the individual provider, we will either use 1) a twelve month rolling figure for February 2019 to January 2020 based on R14 (2018 to 2019) and R06 (2019 to 2020) data, 2) the same approach as set out above for FE colleges, or 3) the average of approaches 1) and 2).

There may be a delay in issuing allocations for institutions where we use R06 data.

https://www.gov.uk/guidance/16-to-19-education-funding-allocations

So for 16-19 the key is to be sure they are fundable. Are you sure their last date of attendance was not before minimum duration?

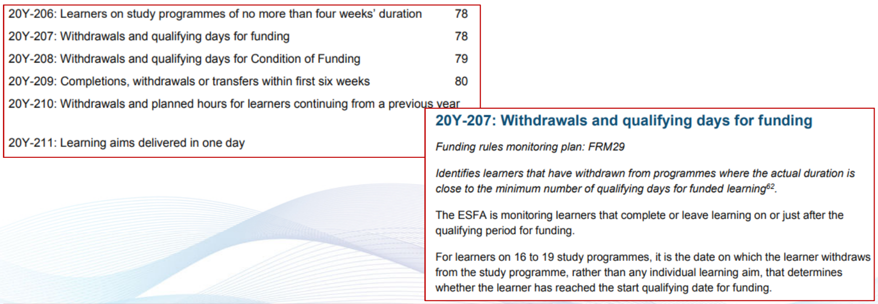
Length of learning aim	Qualifying period
168 days (24 weeks)	42 days (6 weeks)
14 to 167 days (2 - 24 weeks)	14 days (2 weeks)
Fewer than 14 days (under 2 weeks)	1 day (1 attendance)

You can of course correct in time for R06 but that can be very embarrassing and could flag you as ripe for an audit (financial assurance visit)

https://www.gov.uk/guidance/16-to-19-education-funding-allocations

How to find the withdrawn 16-19 learners

Data Self Assessment Toolkit (PDSAT) reports



20Y-206: Learners on study programmes of no more than four weeks' duration	78
20Y-207: Withdrawals and qualifying days for funding	78
20Y-208: Withdrawals and qualifying days for Condition of Funding	79
20Y-209: Completions, withdrawals or transfers within first six weeks	80
20Y-210: Withdrawals and planned hours for learners continuing from a previous year	
20Y-211: Learning aims delivered in one day	

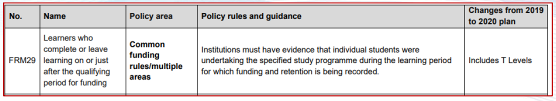
20Y-207: Withdrawals and qualifying days for funding

Funding rules monitoring plan: FRM29

Identifies learners that have withdrawn from programmes where the actual duration is close to the minimum number of qualifying days for funded learning[62].

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

For learners on 16 to 19 study programmes, 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.



No.	Name	Policy area	Policy rules and guidance	Changes from 2019 to 2020 plan
FRM29	Learners who complete or leave learning on or just after the qualifying period for funding	**Common funding rules/multiple areas**	Institutions must have evidence that individual students were undertaking the specified study programme during the learning period for which funding and retention is being recorded.	Includes T Levels

Make sure you have the same start and end dates on the timetable and register with the start and actual end date in the ILR

Check if any learner you think has withdrawn is not on this report. Maybe they were not properly withdrawn from all enrolments.

https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat

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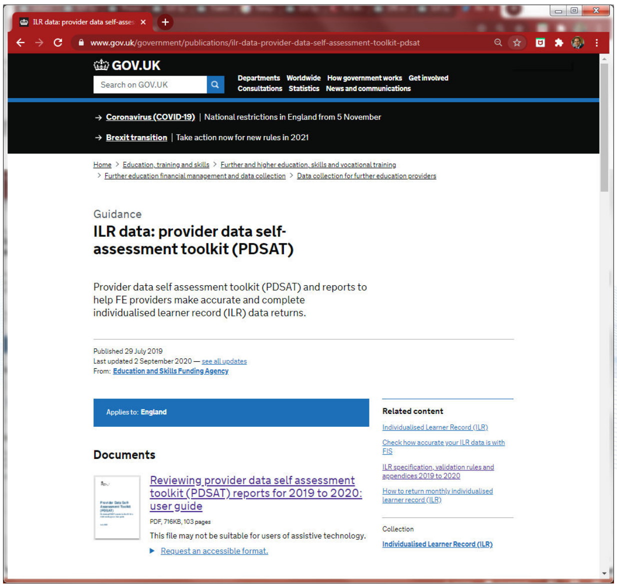
Provider Self Assessment toolkit (PDSAT)


ILR data: provider data self-asses
www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat
GOV.UK
Search on GOV.UK
Departments
Worldwide
How government works
Get involved
Consultations
Statistics
News and communications

→ Coronavirus (COVID-19) | National restrictions in England from 5 November

→ Brexit transition | Take action now for new rules in 2021

Home > Education, training and skills > Further and higher education, skills and vocational training > Further education financial management and data collection > Data collection for further education providers

Guidance

ILR data: provider data self-assessment toolkit (PDSAT)

Provider data self assessment toolkit (PDSAT) and reports to help FE providers make accurate and complete individualised learner record (ILR) data returns.

Published 29 July 2019
Last updated 2 September 2020 — see all updates
From: **Education and Skills Funding Agency**

Applies to: **England**

Documents

Reviewing provider data self assessment toolkit (PDSAT) reports for 2019 to 2020: user guide

PDF, 716KB, 103 pages

This file may not be suitable for users of assistive technology.

▸ Request an accessible format.

Related content

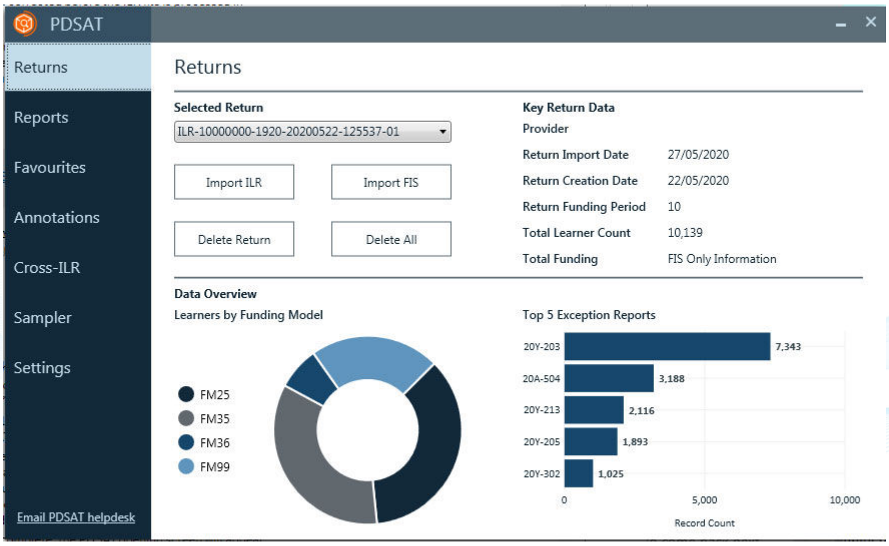
- Individualised Learner Record (ILR)
- Check how accurate your ILR data is with FIS
- ILR specification, validation rules and appendices 2019 to 2020
- How to return monthly individualised learner record (ILR)

Collection

Individualised Learner Record (ILR)

https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat

Provider Self Assessment toolkit (PDSAT)


PDSAT
Returns
Reports
Favourites
Annotations
Cross-ILR
Sampler
Settings
Email PDSAT helpdesk
Import ILR
Import FIS
Delete Return
Delete All
FM25
FM35
FM36
FM99
20Y-203
20A-504
20Y-213
20Y-205
20Y-302
7,343
3,188
2,116
1,893
1,025
0
5,000
10,000
Record Count

Returns

Selected Return
ILR-10000000-1920-20200522-125537-01

Key Return Data

Provider	
Return Import Date	27/05/2020
Return Creation Date	22/05/2020
Return Funding Period	10
Total Learner Count	10,139
Total Funding	FIS Only Information

Data Overview

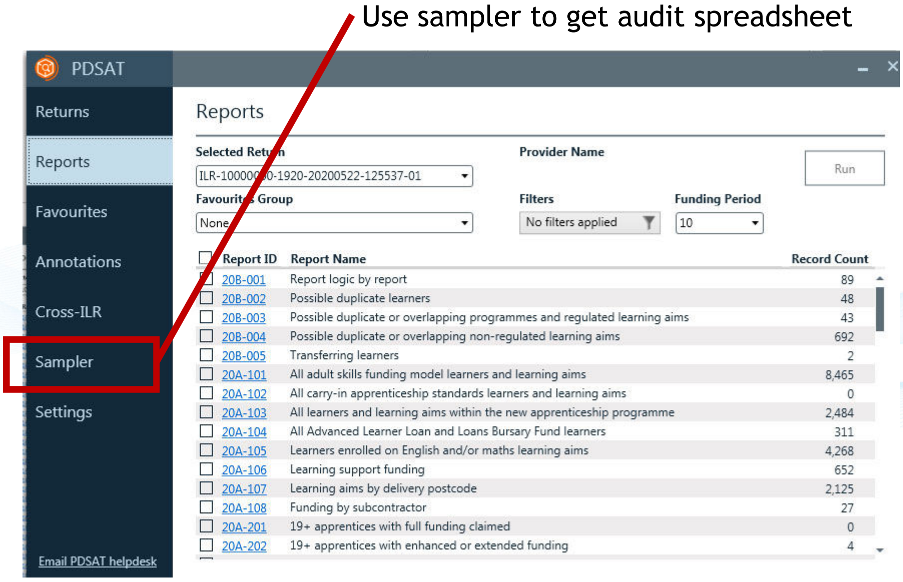
Learners by Funding Model

Top 5 Exception Reports

https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat

PDSAT reports

Import an ILR into FIS
Export derived funding .mdb
Import .mdb into PDSAT
Use sampler to get audit spreadsheet


PDSAT
Returns
Reports
Favourites
Annotations
Cross-ILR
Sampler
Settings
Email PDSAT helpdesk
Run

Reports

Selected Return
ILR-10000[illegible]0-1920-20200522-125537-01

Provider Name

Favourites Group
None

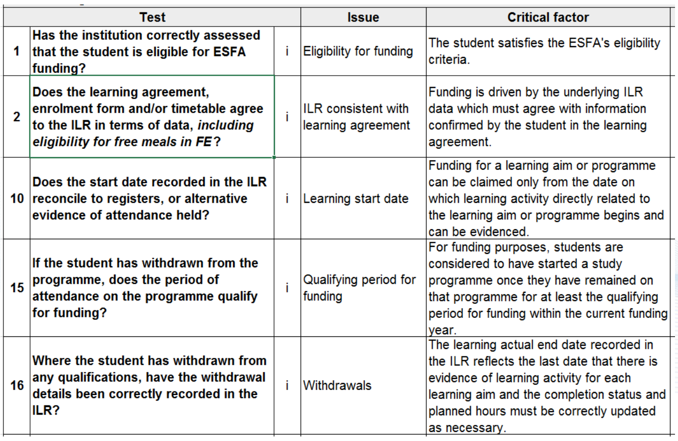
Filters
No filters applied

Funding Period
10

☐ Report ID	Report Name	Record Count
☐ 20B-001	Report logic by report	89
☐ 20B-002	Possible duplicate learners	48
☐ 20B-003	Possible duplicate or overlapping programmes and regulated learning aims	43
☐ 20B-004	Possible duplicate or overlapping non-regulated learning aims	692
☐ 20B-005	Transferring learners	2
☐ 20A-101	All adult skills funding model learners and learning aims	8,465
☐ 20A-102	All carry-in apprenticeship standards learners and learning aims	0
☐ 20A-103	All learners and learning aims within the new apprenticeship programme	2,484
☐ 20A-104	All Advanced Learner Loan and Loans Bursary Fund learners	311
☐ 20A-105	Learners enrolled on English and/or maths learning aims	4,268
☐ 20A-106	Learning support funding	652
☐ 20A-107	Learning aims by delivery postcode	2,125
☐ 20A-108	Funding by subcontractor	27
☐ 20A-201	19+ apprentices with full funding claimed	0
☐ 20A-202	19+ apprentices with enhanced or extended funding	4

16-19 issues at ILR R04 simply around if any funding for overall learner should be generated

Audit spreadsheet = FM25 financial assurance working papers



	Test		Issue	Critical factor
1	**Has the institution correctly assessed that the student is eligible for ESFA funding?**	i	Eligibility for funding	The student satisfies the ESFA's eligibility criteria.
2	**Does the learning agreement, enrolment form and/or timetable agree to the ILR in terms of data, *including eligibility for free meals in FE*?**	i	ILR consistent with learning agreement	Funding is driven by the underlying ILR data which must agree with information confirmed by the student in the learning agreement.
10	**Does the start date recorded in the ILR reconcile to registers, or alternative evidence of attendance held?**	i	Learning start date	Funding for a learning aim or programme can be claimed only from the date on which learning activity directly related to the learning aim or programme begins and can be evidenced.
15	**If the student has withdrawn from the programme, does the period of attendance on the programme qualify for funding?**	i	Qualifying period for funding	For funding purposes, students are considered to have started a study programme once they have remained on that programme for at least the qualifying period for funding within the current funding year.
16	**Where the student has withdrawn from any qualifications, have the withdrawal details been correctly recorded in the ILR?**	i	Withdrawals	The learning actual end date recorded in the ILR reflects the last date that there is evidence of learning activity for each learning aim and the completion status and planned hours must be correctly updated as necessary.

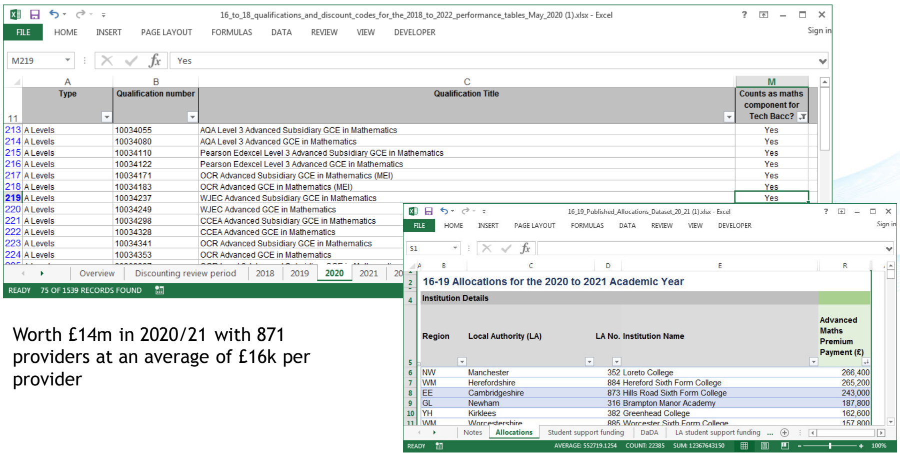
Things like planned hours not going to alter allocation

Working papers via PDSAT sampler function : https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat

ILR R04 also used for advanced math premium

"We establish the number of students studying an eligible level 3 maths qualification in the relevant academic year using the ILR (R04)"

75 qualifications that count as a maths component for Technical Baccalaureate as well as the full IBO Level 3 International Baccalaureate diploma (QN 50034157) https://www.gov.uk/government/publications/16-to-19-qualifications-discount-codes-and-point-scores


16_to_18_qualifications_and_discount_codes_for_the_2018_to_2022_performance_tables_May_2020 (1).xlsx - Excel
FILE
HOME
INSERT
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FORMULAS
DATA
REVIEW
VIEW
DEVELOPER
Sign in
M219
Overview
Discounting review period
2018
2019
2020
2021
READY
75 OF 1539 RECORDS FOUND

Yes

	Type	Qualification number	Qualification Title	Counts as maths component for Tech Bacc?
213	A Levels	10034055	AQA Level 3 Advanced Subsidiary GCE in Mathematics	Yes
214	A Levels	10034080	AQA Level 3 Advanced GCE in Mathematics	Yes
215	A Levels	10034110	Pearson Edexcel Level 3 Advanced Subsidiary GCE in Mathematics	Yes
216	A Levels	10034122	Pearson Edexcel Level 3 Advanced GCE in Mathematics	Yes
217	A Levels	10034171	OCR Advanced Subsidiary GCE in Mathematics (MEI)	Yes
218	A Levels	10034183	OCR Advanced GCE in Mathematics (MEI)	Yes
219	A Levels	10034237	WJEC Advanced Subsidiary GCE in Mathematics	Yes
220	A Levels	10034249	WJEC Advanced GCE in Mathematics	
221	A Levels	10034298	CCEA Advanced Subsidiary GCE in Mathematics	
222	A Levels	10034328	CCEA Advanced GCE in Mathematics	
223	A Levels	10034341	OCR Advanced Subsidiary GCE in Mathematics	
224	A Levels	10034353	OCR Advanced GCE in Mathematics	

16_19_Published_Allocations_Dataset_20_21 (1).xlsx - Excel
FILE
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DEVELOPER
Sign in
S1
Notes
Allocations
Student support funding
DaDA
LA student support funding
READY
AVERAGE: 552719.1254
COUNT: 22385
SUM: 12367643150
100%

16-19 Allocations for the 2020 to 2021 Academic Year

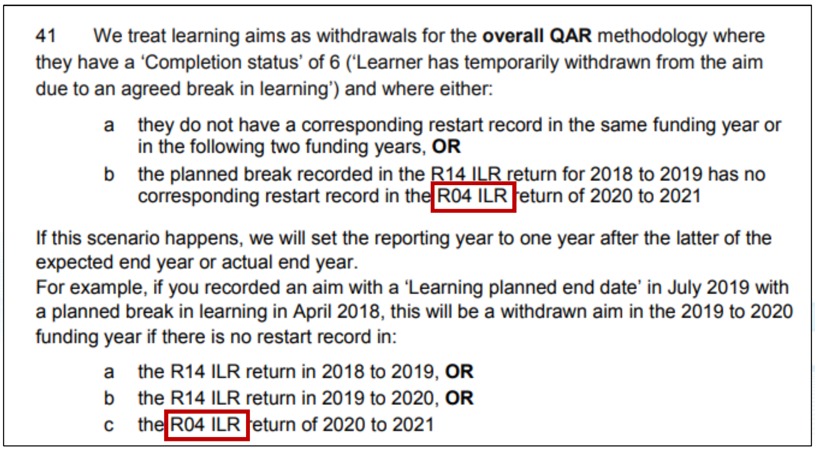
Institution Details

Region	Local Authority (LA)	LA No.	Institution Name	Advanced Maths Premium Payment (£)
NW	Manchester	352	Loreto College	266,400
WM	Herefordshire	884	Hereford Sixth Form College	265,200
EE	Cambridgeshire	873	Hills Road Sixth Form College	243,000
GL	Newham	316	Brampton Manor Academy	187,800
YH	Kirklees	382	Greenhead College	162,600

Worth £14m in 2020/21 with 871 providers at an average of £16k per provider

https://www.gov.uk/government/publications/16-to-19-allocation-data-2020-to-2021-academic-year

ILR R04 used for last year's achievement rates (all funding streams)



41 We treat learning aims as withdrawals for the **overall QAR** methodology where they have a 'Completion status' of 6 ('Learner has temporarily withdrawn from the aim due to an agreed break in learning') and where either:

- a they do not have a corresponding restart record in the same funding year or in the following two funding years, **OR**
- b the planned break recorded in the R14 ILR return for 2018 to 2019 has no corresponding restart record in the R04 ILR return of 2020 to 2021

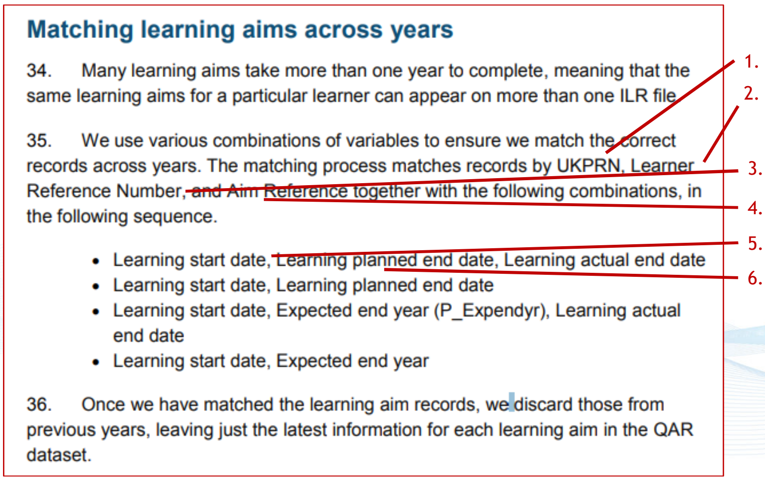
If this scenario happens, we will set the reporting year to one year after the latter of the expected end year or actual end year.
For example, if you recorded an aim with a 'Learning planned end date' in July 2019 with a planned break in learning in April 2018, this will be a withdrawn aim in the 2019 to 2020 funding year if there is no restart record in:

- a the R14 ILR return in 2018 to 2019, **OR**
- b the R14 ILR return in 2019 to 2020, **OR**
- c the R04 ILR return of 2020 to 2021

Key is to ensure the 'restart record' is in ILR R04, particularly for R04 - but also that it is correctly matched

https://www.gov.uk/government/publications/qualification-achievement-rates-qar-2019-to-2020

Checking the carry-overs match in ILR R04



Matching learning aims across years

34. Many learning aims take more than one year to complete, meaning that the same learning aims for a particular learner can appear on more than one ILR file.

35. We use various combinations of variables to ensure we match the correct records across years. The matching process matches records by UKPRN, Learner Reference Number, and Aim Reference together with the following combinations, in the following sequence.

- Learning start date, Learning planned end date, Learning actual end date
- Learning start date, Learning planned end date
- Learning start date, Expected end year (P_Expendyr), Learning actual end date
- Learning start date, Expected end year

36. Once we have matched the learning aim records, we discard those from previous years, leaving just the latest information for each learning aim in the QAR dataset.

Without a match they will count as not achieving

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/856548/ET_QAR_technical_specification_201819_v3.pdf

ILR R04 where learner reference numbers changes

ESFA: “Providers assign the Learner reference number and we use this number to match aims across years”

“If, for any reason, a learner’s Learner reference number changes, either within a funding year or between years, then you must record this using the Learner reference number in previous year field.
https://guidance.submitlearnerdatabeta.fasst.org.uk/ilr/field/prevlearnrefnumber

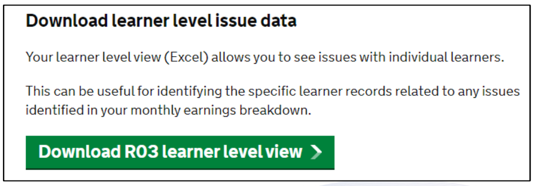
“We use the information in the Learner reference number in the previous year field to change the Learner reference numbers for previous years to the latest Learner reference number. We keep the original Learner reference number in the QAR dataset in the LearnRefNumber_orig field.

“If you use the Learner reference number in previous year field when there has not been a change in the learner’s Learner reference number, then this will prevent us from correctly matching that learner’s aims.”

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/856548/ET_QAR_technical_specification_201819_v3.pdf

Reports before R04 ESFA’s submit learner data portal

This one helps with apprentices and mismatches



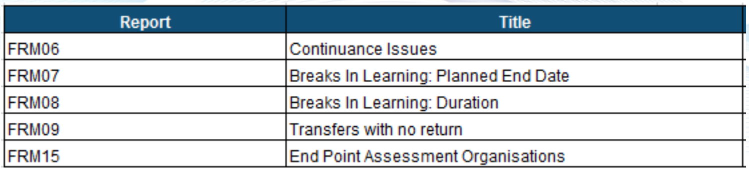
Download learner level issue data

Your learner level view (Excel) allows you to see issues with individual learners.

This can be useful for identifying the specific learner records related to any issues identified in your monthly earnings breakdown.

R03 Funding Rules Monitoring spreadsheet

For first time a limited number of pre-R04 reports [so no excuses!]



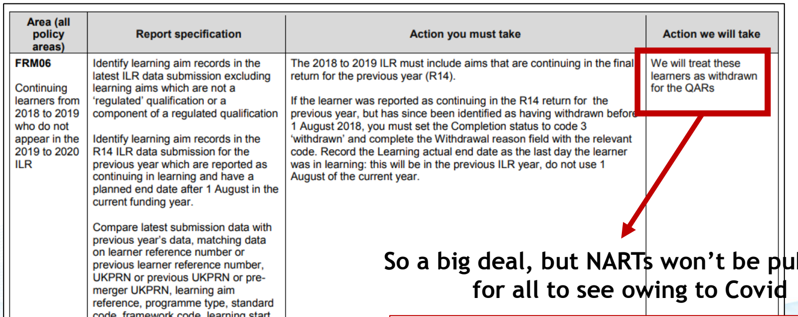
Report	Title
FRM06	Continuance Issues
FRM07	Breaks In Learning: Planned End Date
FRM08	Breaks In Learning: Duration
FRM09	Transfers with no return
FRM15	End Point Assessment Organisations

And ILR validation reports now looks for changes of dates between years

https://submitlearnerdatabeta.fasst.org.uk/

Funding Rules Monitoring reports

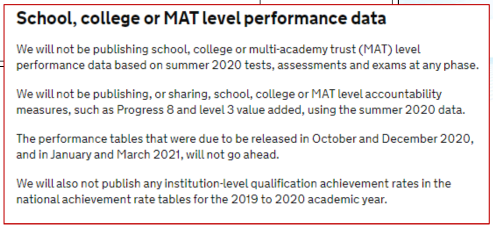
Example (plus one year for this year)



Area (all policy areas)	Report specification	Action you must take	Action we will take
FRM06 Continuing learners from 2018 to 2019 who do not appear in the 2019 to 2020 ILR	Identify learning aim records in the latest ILR data submission excluding learning aims which are not a 'regulated' qualification or a component of a regulated qualification Identify learning aim records in the R14 ILR data submission for the previous year which are reported as continuing in learning and have a planned end date after 1 August in the current funding year. Compare latest submission data with previous year's data, matching data on learner reference number or previous learner reference number, UKPRN or previous UKPRN or pre-merger UKPRN, learning aim reference, programme type, standard code, framework code, learning start date, where the expected learning aim does not appear in the latest ILR.	The 2018 to 2019 ILR must include aims that are continuing in the final return for the previous year (R14). If the learner was reported as continuing in the R14 return for the previous year, but has since been identified as having withdrawn before 1 August 2018, you must set the Completion status to code 3 'withdrawn' and complete the Withdrawal reason field with the relevant code. Record the Learning actual end date as the last day the learner was in learning: this will be in the previous ILR year, do not use 1 August of the current year.	We will treat these learners as withdrawn for the QARs

https://www.gov.uk/guidance/esfa-financial-assurance-monitoring-the-funding-rules

So a big deal, but NARTs won't be published for all to see owing to Covid



School, college or MAT level performance data

We will not be publishing school, college or multi-academy trust (MAT) level performance data based on summer 2020 tests, assessments and exams at any phase.

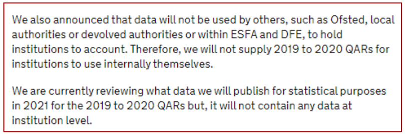
We will not be publishing, or sharing, school, college or MAT level accountability measures, such as Progress 8 and level 3 value added, using the summer 2020 data.

The performance tables that were due to be released in October and December 2020, and in January and March 2021, will not go ahead.

We will also not publish any institution-level qualification achievement rates in the national achievement rate tables for the 2019 to 2020 academic year.

https://www.gov.uk/government/publications/coronavirus-covid-19-school-and-college-performance-measures/coronavirus-covid-19-school-and-college-accountability

And no QARs either!

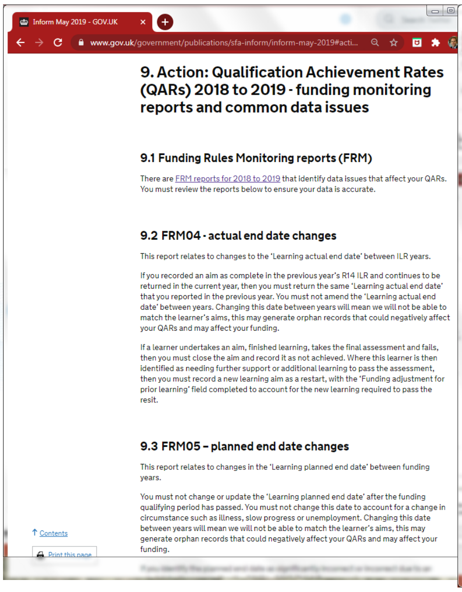


We also announced that data will not be used by others, such as Ofsted, local authorities or devolved authorities or within ESFA and DFE, to hold institutions to account. Therefore, we will not supply 2019 to 2020 QARs for institutions to use internally themselves.

We are currently reviewing what data we will publish for statistical purposes in 2021 for the 2019 to 2020 QARs but, it will not contain any data at institution level.

https://www.gov.uk/government/collections/qualification-achievement-rates-and-minimum-standards

This webpage may also be useful



Inform May 2019 - GOV.UK
www.gov.uk/government/publications/sfa-inform/inform-may-2019#acti...
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9. Action: Qualification Achievement Rates (QARs) 2018 to 2019 - funding monitoring reports and common data issues

9.1 Funding Rules Monitoring reports (FRM)

There are FRM reports for 2018 to 2019 that identify data issues that affect your QARs. You must review the reports below to ensure your data is accurate.

9.2 FRM04 - actual end date changes

This report relates to changes to the 'Learning actual end date' between ILR years.

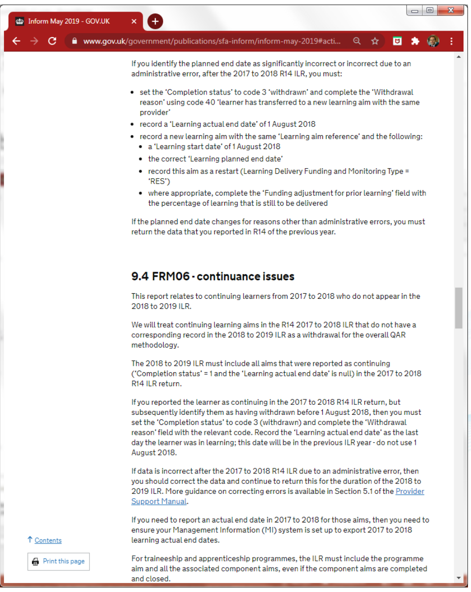
If you recorded an aim as complete in the previous year's R14 ILR and continues to be returned in the current year, then you must return the same 'Learning actual end date' that you reported in the previous year. You must not amend the 'Learning actual end date' between years. Changing this date between years will mean we will not be able to match the learner's aims, this may generate orphan records that could negatively affect your QARs and may affect your funding.

If a learner undertakes an aim, finished learning, takes the final assessment and fails, then you must close the aim and record it as not achieved. Where this learner is then identified as needing further support or additional learning to pass the assessment, then you must record a new learning aim as a restart, with the 'Funding adjustment for prior learning' field completed to account for the new learning required to pass the resit.

9.3 FRM05 – planned end date changes

This report relates to changes in the 'Learning planned end date' between funding years.

You must not change or update the 'Learning planned end date' after the funding qualifying period has passed. You must not change this date to account for a change in circumstance such as illness, slow progress or unemployment. Changing this date between years will mean we will not be able to match the learner's aims, this may generate orphan records that could negatively affect your QARs and may affect your funding.



Inform May 2019 - GOV.UK
www.gov.uk/government/publications/sfa-inform/inform-may-2019#acti...
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If you identify the planned end date as significantly incorrect or incorrect due to an administrative error, after the 2017 to 2018 R14 ILR, you must:

- set the 'Completion status' to code 3 'withdrawn' and complete the 'Withdrawal reason' using code 40 'learner has transferred to a new learning aim with the same provider'
- record a 'Learning actual end date' of 1 August 2018
- record a new learning aim with the same 'Learning aim reference' and the following:
  - a 'Learning start date' of 1 August 2018
  - the correct 'Learning planned end date'
  - record this aim as a restart (Learning Delivery Funding and Monitoring Type = 'RES')
  - where appropriate, complete the 'Funding adjustment for prior learning' field with the percentage of learning that is still to be delivered

If the planned end date changes for reasons other than administrative errors, you must return the data that you reported in R14 of the previous year.

9.4 FRM06 - continuance issues

This report relates to continuing learners from 2017 to 2018 who do not appear in the 2018 to 2019 ILR.

We will treat continuing learning aims in the R14 2017 to 2018 ILR that do not have a corresponding record in the 2018 to 2019 ILR as a withdrawal for the overall QAR methodology.

The 2018 to 2019 ILR must include all aims that were reported as continuing ('Completion status' = 1 and the 'Learning actual end date' is null) in the 2017 to 2018 R14 ILR return.

If you reported the learner as continuing in the 2017 to 2018 R14 ILR return, but subsequently identify them as having withdrawn before 1 August 2018, then you must set the 'Completion status' to code 3 (withdrawn) and complete the 'Withdrawal reason' field with the relevant code. Record the 'Learning actual end date' as the last day the learner was in learning; this date will be in the previous ILR year - do not use 1 August 2018.

If data is incorrect after the 2017 to 2018 R14 ILR due to an administrative error, then you should correct the data and continue to return this for the duration of the 2018 to 2019 ILR. More guidance on correcting errors is available in Section 5.1 of the Provider Support Manual.

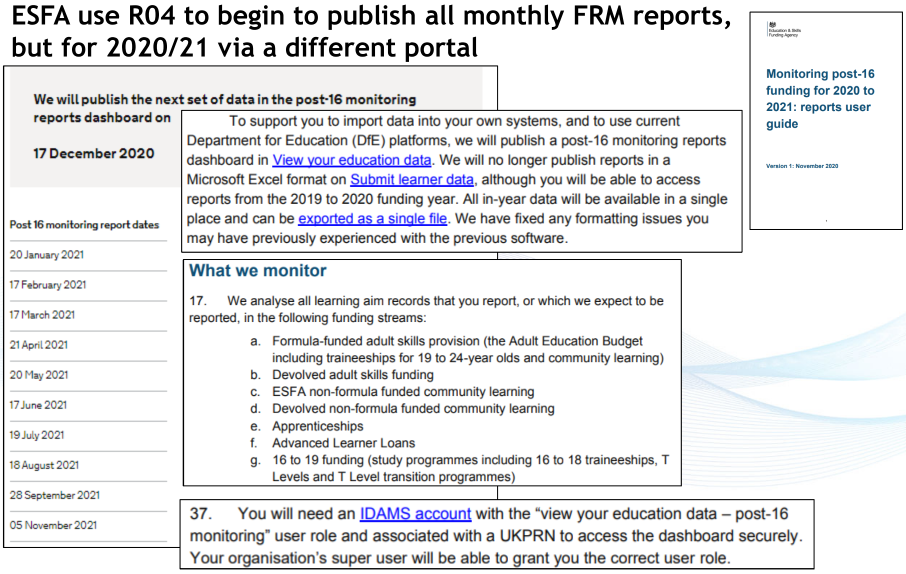
If you need to report an actual end date in 2017 to 2018 for those aims, then you need to ensure your Management Information (MI) system is set up to export 2017 to 2018 learning actual end dates.

For traineeship and apprenticeship programmes, the ILR must include the programme aim and all the associated component aims, even if the component aims are completed and closed.

https://www.gov.uk/government/publications/sfa-inform/inform-may-2019#action-qualification-achievement-rates-qars-2018-to-2019---funding-monitoring-reports-and-common-data-issues

Funding Rules Monitoring reports after R04

ESFA use R04 to begin to publish all monthly FRM reports, but for 2020/21 via a different portal



We will publish the next set of data in the post-16 monitoring reports dashboard on

17 December 2020

Post 16 monitoring report dates

20 January 2021
17 February 2021
17 March 2021
21 April 2021
20 May 2021
17 June 2021
19 July 2021
18 August 2021
28 September 2021
05 November 2021

To support you to import data into your own systems, and to use current Department for Education (DfE) platforms, we will publish a post-16 monitoring reports dashboard in View your education data. We will no longer publish reports in a Microsoft Excel format on Submit learner data, although you will be able to access reports from the 2019 to 2020 funding year. All in-year data will be available in a single place and can be exported as a single file. We have fixed any formatting issues you may have previously experienced with the previous software.

Education & Skills Funding Agency

Monitoring post-16 funding for 2020 to 2021: reports user guide

Version 1: November 2020

1

What we monitor

17. We analyse all learning aim records that you report, or which we expect to be reported, in the following funding streams:

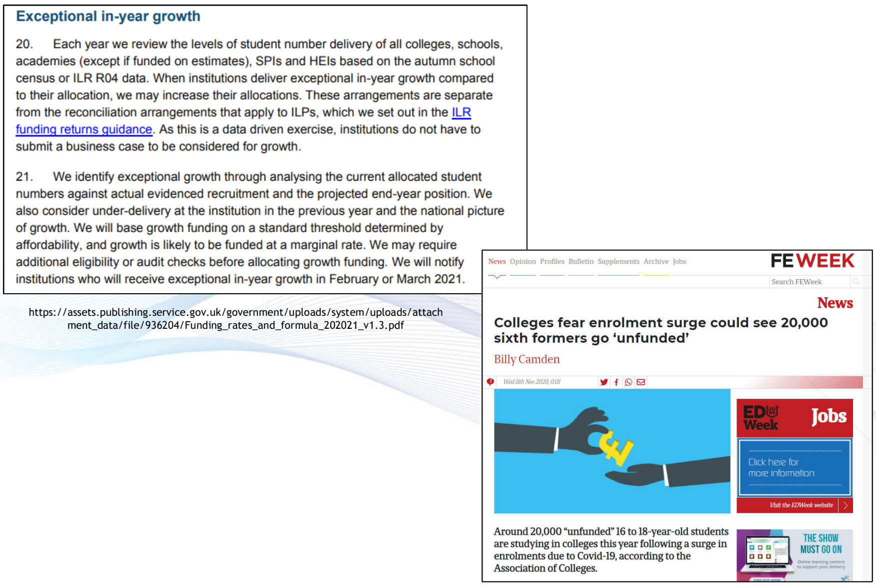
a. Formula-funded adult skills provision (the Adult Education Budget including traineeships for 19 to 24-year olds and community learning)
b. Devolved adult skills funding
c. ESFA non-formula funded community learning
d. Devolved non-formula funded community learning
e. Apprenticeships
f. Advanced Learner Loans
g. 16 to 19 funding (study programmes including 16 to 18 traineeships, T Levels and T Level transition programmes)

37. You will need an IDAMS account with the "view your education data – post-16 monitoring" user role and associated with a UKPRN to access the dashboard securely. Your organisation's super user will be able to grant you the correct user role.

Once successfully logged in, you will have the option to select 'Data Quality and assurance'

https://www.gov.uk/guidance/esfa-financial-assurance-monitoring-the-funding-rules

R04 also used for in-year growth requests



Exceptional in-year growth

20. Each year we review the levels of student number delivery of all colleges, schools, academies (except if funded on estimates), SPIs and HEIs based on the autumn school census or ILR R04 data. When institutions deliver exceptional in-year growth compared to their allocation, we may increase their allocations. These arrangements are separate from the reconciliation arrangements that apply to ILPs, which we set out in the ILR funding returns guidance. As this is a data driven exercise, institutions do not have to submit a business case to be considered for growth.

21. We identify exceptional growth through analysing the current allocated student numbers against actual evidenced recruitment and the projected end-year position. We also consider under-delivery at the institution in the previous year and the national picture of growth. We will base growth funding on a standard threshold determined by affordability, and growth is likely to be funded at a marginal rate. We may require additional eligibility or audit checks before allocating growth funding. We will notify institutions who will receive exceptional in-year growth in February or March 2021.

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/936204/Funding_rates_and_formula_202021_v1.3.pdf

Colleges fear enrolment surge could see 20,000 sixth formers go 'unfunded'

Billy Camden

Wed 11th Nov 2020, 0.01

Around 20,000 "unfunded" 16 to 18-year-old students are studying in colleges this year following a surge in enrolments due to Covid-19, according to the Association of Colleges.

ED Week Jobs
Click here for more information
Visit the EDWeek website
THE SHOW MUST GO ON
Online learning content to support your delivery

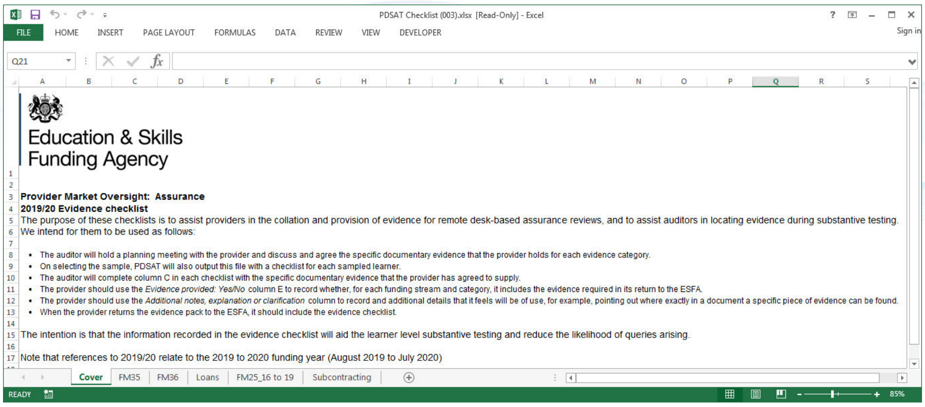
https://feweek.co.uk/2020/11/11/colleges-fear-enrolment-surge-could-see-20000-sixth-formers-go-unfunded/

New financial assurance (ILR audit) checklist

When you run the PDSAT 'sampler' function, one of the files created is a new checklist, alongside the working papers

Checklist will help providers understand the evidence needed to enable the auditor to be satisfied that the rules have been met

There are remote desk-based audits taking place at the moment and the checklist is 'to assist auditors in locating evidence'


PDSAT Checklist (003).xlsx [Read-Only] - Excel
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REVIEW
VIEW
DEVELOPER
Sign in
Q21
Cover
FM35
FM36
Loans
FM25_16 to 19
Subcontracting
READY
85%

Education & Skills
Funding Agency

Provider Market Oversight: Assurance
2019/20 Evidence checklist

The purpose of these checklists is to assist providers in the collation and provision of evidence for remote desk-based assurance reviews, and to assist auditors in locating evidence during substantive testing.
We intend for them to be used as follows:

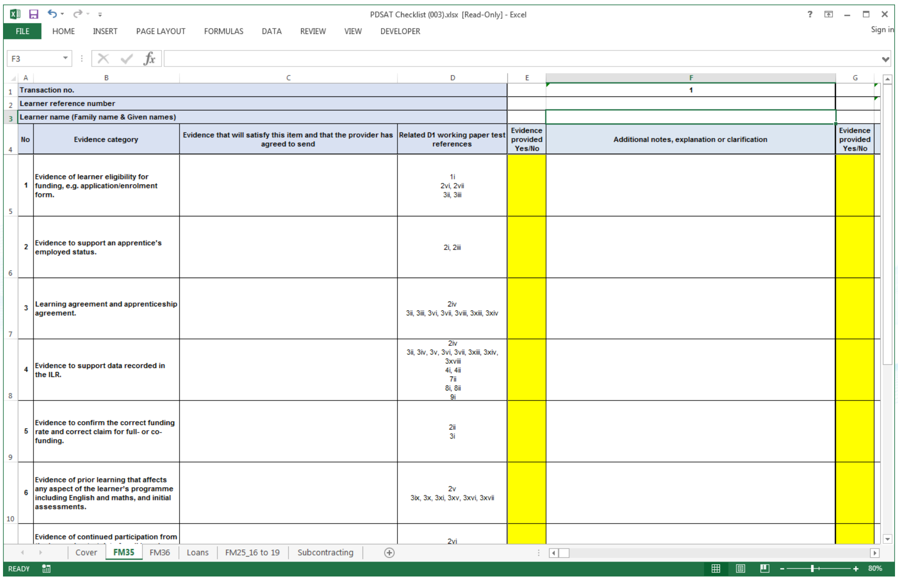
- The auditor will hold a planning meeting with the provider and discuss and agree the specific documentary evidence that the provider holds for each evidence category.
- On selecting the sample, PDSAT will also output this file with a checklist for each sampled learner.
- The auditor will complete column C in each checklist with the specific documentary evidence that the provider has agreed to supply.
- The provider should use the *Evidence provided: Yes/No* column E to record whether, for each funding stream and category, it includes the evidence required in its return to the ESFA.
- The provider should use the *Additional notes, explanation or clarification* column to record and additional details that it feels will be of use, for example, pointing out where exactly in a document a specific piece of evidence can be found.
- When the provider returns the evidence pack to the ESFA, it should include the evidence checklist.

The intention is that the information recorded in the evidence checklist will aid the learner level substantive testing and reduce the likelihood of queries arising.

Note that references to 2019/20 relate to the 2019 to 2020 funding year (August 2019 to July 2020)

New financial assurance (ILR audit) checklist

Eg. FM35 (AEB) and relationship to the D1 working papers


PDSAT Checklist (003).xlsx [Read-Only] - Excel
FILE
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FORMULAS
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VIEW
DEVELOPER
Sign in
F3
Cover
FM35
FM36
Loans
FM25_16 to 19
Subcontracting
READY
80%

Transaction no.					1	
Learner reference number						
Learner name (Family name & Given names)						
No	**Evidence category**	**Evidence that will satisfy this item and that the provider has agreed to send**	**Related D1 working paper test references**	**Evidence provided Yes/No**	**Additional notes, explanation or clarification**	**Evidence provided Yes/No**
1	**Evidence of learner eligibility for funding, e.g. application/enrolment form.**		1i 2vi, 2vii 3ii, 3iii			
2	**Evidence to support an apprentice's employed status.**		2i, 2iii			
3	**Learning agreement and apprenticeship agreement.**		2iv 3ii, 3iii, 3vi, 3vii, 3viii, 3xiii, 3xiv			
4	**Evidence to support data recorded in the ILR.**		2iv 3ii, 3iv, 3v, 3vi, 3vii, 3xiii, 3xiv, 3xviii 4i, 4ii 7ii 8i, 8ii 9i			
5	**Evidence to confirm the correct funding rate and correct claim for full- or co-funding.**		2ii 3i			
6	**Evidence of prior learning that affects any aspect of the learner's programme including English and maths, and initial assessments.**		2v 3ix, 3x, 3xi, 3xv, 3xvi, 3xvii			
	Evidence of continued participation from		2vi			

Final Q&A

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