

# Apprenticeship Accountability Framework

13:00 - 15:30  
10 January 2023

> Nick Linford, author of the Complete Guide to Funding Apprenticeships

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## Webinar agenda

13:00 - 15:30

1. Summary of shift from MLs to AF
2. Dashboard (AAFD) and quality indicators on the ESFA's Analyse FE Data tool
3. The achievement, retention and withdrawal rate calculations
4. Apprenticeship Data Insights (ADI) software
5. The employer and apprentice rating calculations
6. Off The Job data and threshold
7. Learners past planned end date and breaks in learning
8. End-point assessment org data
9. How AF feeds into ESFA intervention
10. Strategies to manage ILR data (including timeliness) to stay out of intervention

All slides, a recording of this webinar will be sent to attendees

**Warning**  
Technical training

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## 1. Summary of shift from MS to AF

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### Minimum Standards (MS) dumped

Before Covid, the ESFA used a version of the apprenticeship achievement rate to determine whether they would put a provider into their intervention regime. Known as the Minimum Standard (MS) and the Minimum Levels of Performance (MLP) before that it combined an official achievement rate threshold (62% in 18/19) with a 40% tolerance for materiality. Achievement rates alone are now deemed to be insufficient (and take too long to finalise) for intervention.



<https://www.gov.uk/government/publications/minimum-standards-2018-to-2019>

### Accountability Framework (transitional from April 2022)

The ESFA has replaced MS with the AF, which incorporates thresholds for achievement rates, but also a large basket of other measures, not all based on data submitted via the Individualised Learner Record (ILR). ESFA describe it as “a new, more timely approach to accountability for apprenticeship training providers”

<https://www.gov.uk/guidance/apprenticeship-training-provider-accountability-framework-20212022>

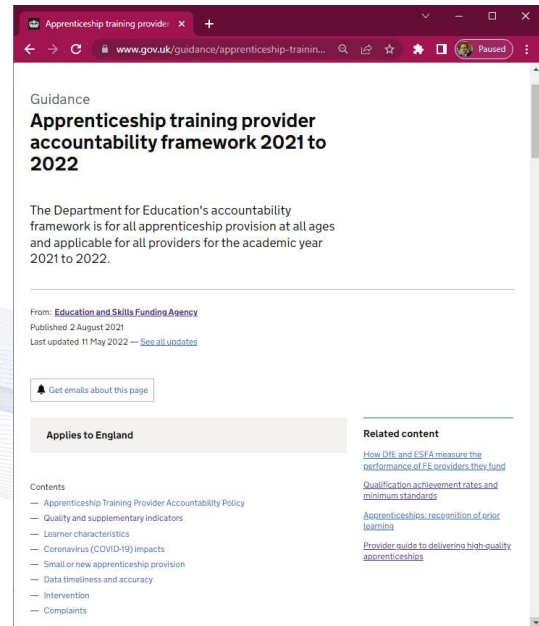
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# Accountability Framework

“This framework focuses on the quality of provision and it sits alongside monitoring activity for compliance with funding rules, financial health and safeguarding.”

“Due to the continuing impact from COVID-19, 2021/22 will be a transition year for the Framework arrangements.” Unclear how a transition year differs.

Technically, this new Accountability Framework started in April 2022!



<https://www.gov.uk/guidance/apprenticeship-training-provider-accountability-framework-20212022>

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# Next round of reviews set for early February

## 6. Information: apprenticeship training provider accountability framework 2021 to 2022 – webinar for providers

We would like to invite apprenticeship training providers to join a webinar on Wednesday 25 January 2023 (10:00 to 11:00) to learn more about the apprenticeship training provider accountability framework.

Introduced in August 2021, the [apprenticeship training provider accountability framework](#) uses a range of quality metrics, as set out in the [apprenticeship accountability framework technical specification 2021 to 2022](#). The Framework provides more timely opportunities to review performance and as it's the first year of implementation we are treating 2021 to 2022 as a transitional year.

The purpose of the webinar is to support providers ahead of the next round of reviews under the accountability framework, which will commence in early February 2023. The session will:

- recap the purpose of the accountability framework and the overall approach,
- cover updates to the technical specification and provider accountability framework dashboard,
- provide further information in response to questions raised in advance by providers.

There will be an opportunity to ask policy officials questions relating to the Accountability Framework and Technical Specification during the webinar.

Please complete the [registration](#) form here to secure your place.

Be sure to sign up for the ESFA webinar too →

<https://www.gov.uk/government/publications/esfa-update-4-january-2023/esfa-update-further-education-4-january-2023#information-apprenticeship-training-provider-accountability-framework-2021-to-2022-webinar-for-providers>

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# The AF basket of indicators

## Quality and supplementary indicators

We will use the following data as indicators of the quality of your provision when considering intervention:

- outcomes from Ofsted reports based on our existing policy [Ofsted Inspection and ESFA intervention](#)
- achievement rates, including compared to other providers delivering similar standards or in similar sectors
- retention rates and withdrawals, including compared to other providers delivering similar standards or in similar sectors
- employer ratings of providers on the apprenticeship service
- apprentice ratings of providers on the apprenticeship service (once this becomes available)

In addition to the above we will review further indicators to inform contract management decisions. These will be subject to change but may include:

- off-the-job training data (planned and actual hours)
- learners past their planned end date
- unusual changes to delivery patterns
- breaks in learning
- when apprentices are registered with an end-point assessment organisation



## Apprenticeship Accountability Framework Technical Specification 2021 to 2022

For all age apprenticeships

Version 2.0: May 2022

This document sets out the detailed approach on applying the apprenticeship accountability framework, as first published in August 2021. It outlines the revised thresholds for 2021 to 2022 academic year for various quality indicators that form part of the apprenticeship accountability framework and how we will apply them for this first year. The specification has been updated to reflect clarifications from version 1 and to include information about the thresholds for Off the Job Training (OTJT), achievement and retention rates.

We continue to welcome feedback on how we can make the specification clearer or better to understand. Please email feedback to [provider.strategy@education.gov.uk](mailto:provider.strategy@education.gov.uk) by 1 September 2022. We will take the feedback received into consideration when we next update the specification.

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1078727/Apprenticeship\\_Accountability\\_Framework\\_Technical\\_Specification\\_2021\\_to\\_2022.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1078727/Apprenticeship_Accountability_Framework_Technical_Specification_2021_to_2022.pdf)

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## 2. Dashboard (AAFD) and quality indicators on the ESFA's Analyse FE Data tool



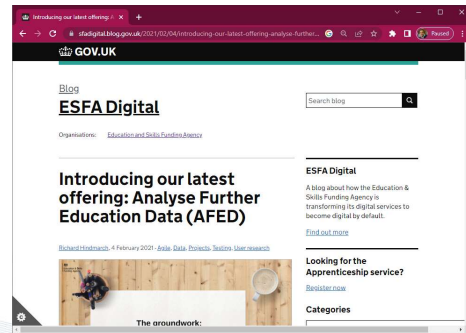
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# The AFED

Clues began to emerge in February 2021 of a new ESFA Analyse Further Education Data (AFED) tool to be released on the view your education data (VYED) website

“Admittedly the learner data submitted by a provider is quite complex and the plot thickens with each ILR (Individualised Learner Record) return. AFED was created to empower FE providers with a deeper insight into their submitted learner data. ”

And, in early November the ESFA announced that some provider apprenticeship AF data was now available in the AFED via the VYED website

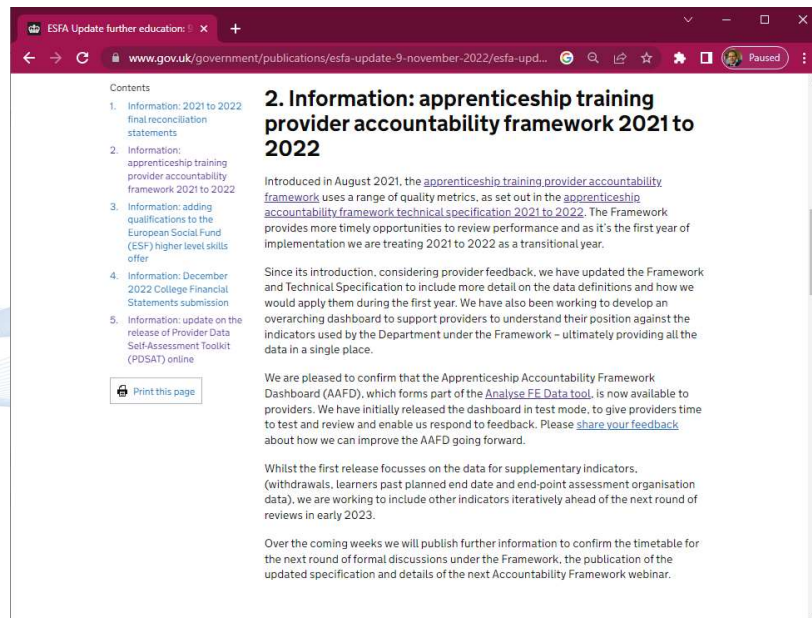


https://sfadigital.blog.gov.uk/2021/02/04/introducing-our-latest-offering-analyse-further-education-data-afed/

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# The AAFD

In November the ESFA announced the launch of the Apprenticeship Accountability Framework Dashboard (AAFD) on the AFED.



https://www.gov.uk/government/publications/esfa-update-9-november-2022/esfa-update-further-education-9-november-2022#information-apprenticeship-training-provider-accountability-framework-2021-to-2022

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# IDAMS permission to access the AAFD on the AFED via the VYED

**IDAMS** **VYED** **AFED** **AAFD**

<https://logon.fasst.org.uk/>

<https://viewyourdata.education.gov.uk/>

[Apprenticeship Accountability Framework](#)

**NEW**

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## The current AAFD

GROVE PARK COLLEGE Show how ratings are calculated (opens in a new tab)

### Apprenticeship Accountability Framework

Showing data for R14 of 2021/22 Total Learners: 2,862

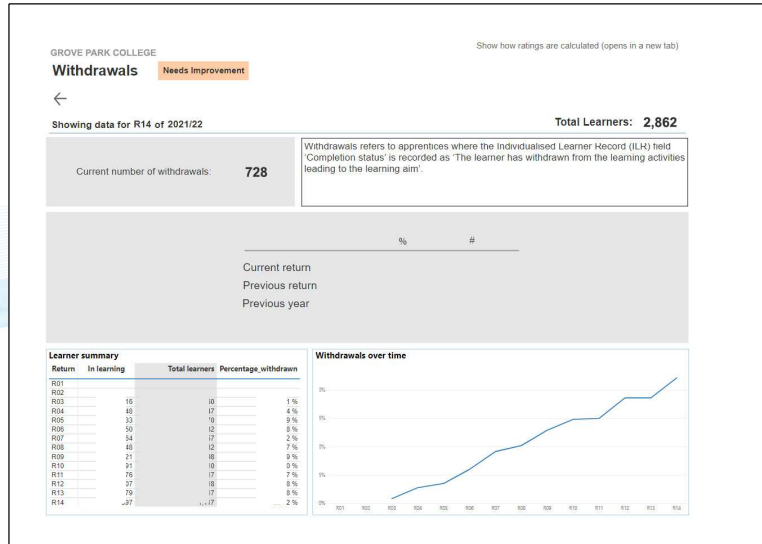
Select title to view more information

<b>Withdrawals</b> 25.42 %	<b>Needs Improvement</b>	<b>End point assessment</b> 0	<b>On Track</b>	<b>Retention rates (QAR)</b> New features coming soon...
<b>Past planned end date</b> Learners past planned end date: Over 180 days : 7.21% Over 365 days : 8.57%	<b>On Track</b>	<b>Breaks in learning</b> New features coming soon...		<b>Achievement rates (QAR)</b> New features coming soon...
<b>Off the job training</b> New features coming soon...	<b>Employer feedback</b> New features coming soon...	<b>Apprentice feedback</b> New features coming soon...		

<https://viewyourdata.education.gov.uk/>

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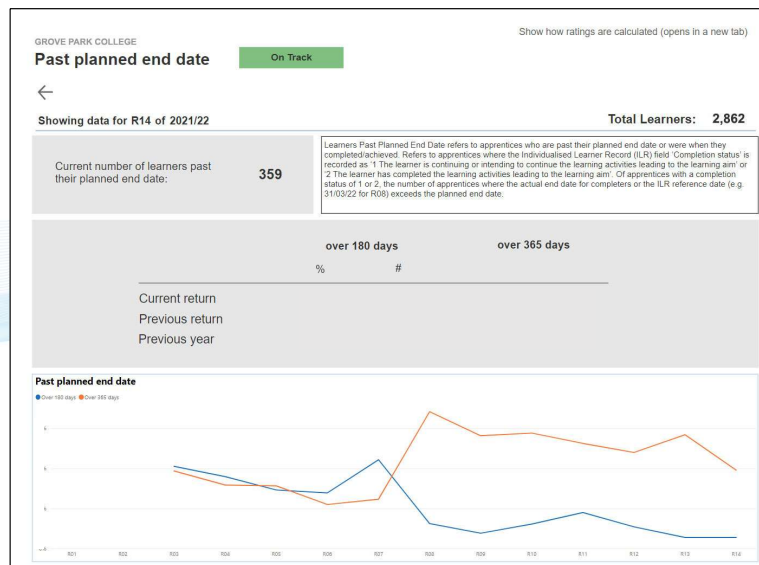
## Withdrawals on the AAFD



<https://viewyourdata.education.gov.uk/>

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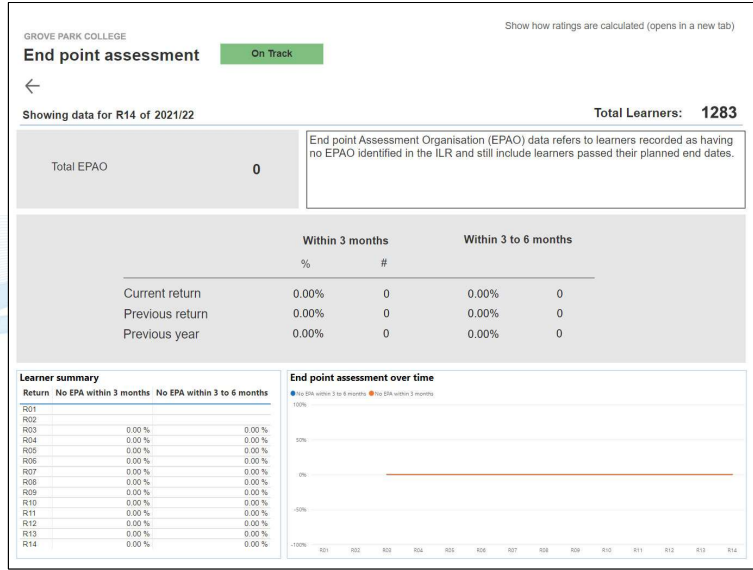
## Past planned end date AAFD



<https://viewyourdata.education.gov.uk/>

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## Past planned end date AAFD



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## 3. The achievement, retention and withdrawal rate calculations

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# Qualification Achievement Rate calculation

In simplistic terms, retention, pass and achievement rate is calculated as:

Completed the EPA / Leavers that started = retention rate  
 e.g. 600 / 1000 = 60% retention rate (QRR)

Passed the EPA / Leavers that completed the EPA = pass rate  
 e.g. 540 / 600 = 90% (QPR)

Passed the EPA / Leavers that started = achievement rate (QAR)  
 e.g. 540 / 1000 = 54%

Mathematically, this also means:

Retention rate x pass rate = achievement rate  
 e.g. 60% x 90% = 54%

National averages

Headline	2018/19	2019/20	2020/21
Achievement rate %	65.1%	57.5%	57.7%
Pass rate %	98.5%	97.9%	98.1%
Retention rate %	66.1%	58.7%	58.8%
Leavers	294,990	270,470	275,380
<i>of which dropped-out</i>	<i>194,988</i>	<i>158,766</i>	<i>161,923</i>

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# Achievement rate (QAR)

AF intervention is planned for any overall (all age and all level) achievement rate below 60%

Table 1: Quality and supplementary indicators and thresholds

Indicator	At risk	Needs improvement
<b>Quality indicators</b>		
Achievement rates as calculated as part of Qualification Achievement Rates (QAR)	All age apprenticeship achievement rate of less than 50%	All age apprenticeship achievement rate greater than or equal to 50% and less than 60%

The national average for 2020/21 QAR standards was just 51.8%

You can interrogate national achievement rates for standards on the DfE website

- ▼ [List of all supporting files](#)
- ▶ [Apprenticeship Achievement Rates Standards and Frameworks \(csv, 90 Kb\)](#)
- ▶ [More details](#)

Apprenticeships overall achievement rates for frameworks and standards

	Achievement Rate			Leavers		
	2018/19	2019/20	2020/21	2018/19	2019/20	2020/21
Total	65.1%	57.5%	57.7%	294,990	270,470	275,380
Framework	69.2%	68.1%	68.9%	240,310	145,200	93,880
Standard	47.4%	45.2%	51.8%	54,680	125,270	181,490

<https://explore-education-statistics.service.gov.uk/find-statistics/apprenticeships-and-traineeships>

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# Retention rate (QRR)

AF intervention is planned for any overall (all age and all level) retention rate below 62%

Indicator	At risk	Needs improvement
<b>Quality indicators</b>		
Retention rates as calculated as part of Qualification Achievement Rates (QAR)	All age apprenticeship retention rate of less than 52%	All age apprenticeship retention rate greater than or equal to 52% and less than 62%

The national average for 2020/21 QRR standards was just 53%

You can interrogate national achievement rates for standards on the DfE website

- ▼ [List of all supporting files](#)
- ▼ [Apprenticeship Achievement Rates Standards and Frameworks \(csv, 90 Kb\)](#)
- ▼ [More details](#)

**THIS IS THE LATEST DATA**

'Apprenticeship Achievement Rates Headlines' for Standard in England between 2018/19 and 2020/21

[Move and reorder table headers](#)

	2018/19	2019/20	2020/21
<b>Leavers</b>	54,680	125,270	181,490
<b>Retention Rate</b>	48.8%	46.6%	53.0%

<https://explore-education-statistics.service.gov.uk/find-statistics/apprenticeships-and-traineeships>

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# Your 2021/22 QAR and QRR

## QAR and QRR on VYED

The screenshots show the following navigation path:

- Screenshot 1:** Home > Achievement/performance > Qualification achievement rates 2021/22
- Screenshot 2:** View your education data > Qualification achievement rates 2021/22
- Screenshot 3:** QAR 2122 dashboard > Apprenticeships QAR Summary

**Apprenticeships QAR Summary Data:**

Category	Value	Target
QAR	54%	60%
QRR	90%	60%

But currently this is based on the ILR R12 submission. The final 21/22 QAR comes after the ILR R04 submission for 22/23 on 6 December (to account for any carry-overs that didn't return).

<https://explore-education-statistics.service.gov.uk/find-statistics/apprenticeships-and-traineeships>

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## You QAR/QRR figures not finalised

We only use the achievement year for apprenticeship standards on funding model 36. In addition, we include the reporting year to capture those overdue continuing learning aims, overdue planned breaks or late completions recorded in the following funding year (up to R04). See later section [calculating the hybrid end year](#) for further details on how we calculate the hybrid end year.

11. There can be a delay between completing an apprenticeship and the notification of the achievement. To account for this delay and to ensure all relevant leavers are included, we use information from the 2022 to 2023 R04 ILR to identify apprenticeships with a planned end date in 2021 to 2022. If you update records in your 2022 to 2023 R04 return that you submitted in your 2021 to 2022 R14 return, then we will use the R04 record to determine your QAR.



### Apprenticeship qualification achievement rates technical specification 2021 to 2022

Version 1.0  
June 2022

**So your final QAR could be lower now the 2022/23 ILR R04 has been submitted**

<https://www.gov.uk/government/publications/qualification-achievement-rates-2021-to-2022>

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## Withdrawal rate (QWR?)

A 'withdrawal rate' is a completely new metric, never used before...

Indicator	At risk	Needs improvement
<b>Quality indicators</b>		
Withdrawals	Of total number of apprentices, percentage of withdrawals is greater than 35%	Of total number of apprentices, percentage of withdrawals is less than or equal to 35% and greater than 15% OR where the number of apprentices identified as withdrawn is greater than 250

**Figures for 2021/22**

$$\frac{161,932 \text{ Non-retained}}{740,350 \text{ participation}} = 21.87\%$$

According to the AAFD the withdrawal rate is the number of withdrawn apprentices (ILR completion status = 3) divided by the 'Total learners'

I'm not convinced this calculation is accurate yet - and would need to see a more detailed specification once published.

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## Recap

### Intervention thresholds:

Achievement rate (QAR) below 60% (20/21 average for standards was 51.8%)

Retention rate (QRR) below 62% (20/21 average for standards was 53%)

Withdrawal rate (QWR?) above 15% (20/21 average for apprenticeships was 22%?)

Final figures will be calculated by the ESFA now the ILR R04 has been returned

**And, it does seem highly likely many will fall foul of one or more of the thresholds (in fact, failing the all seems more likely than just failing one or two)**

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## 4. Apprenticeship Data Insights (ADI) software

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## ADI software purpose

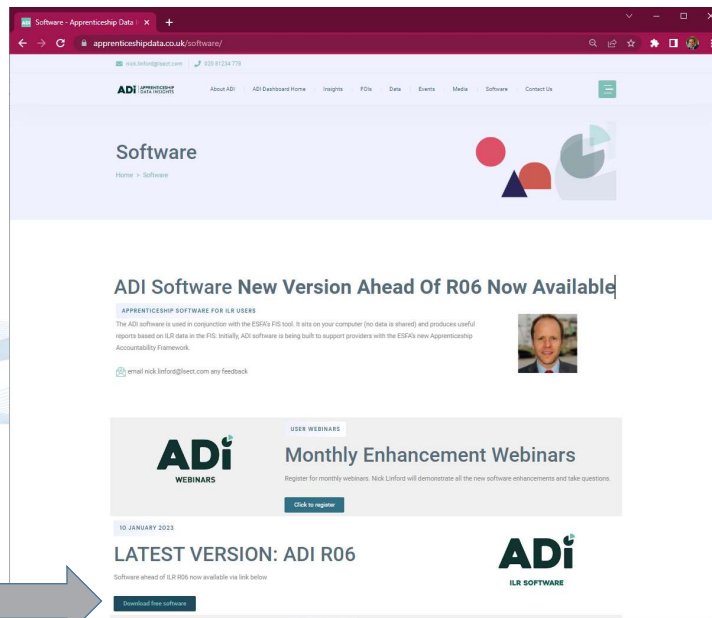


Initially, to support providers preparing for their apprenticeship accountability framework (AAF) review meetings with the ESFA (next round early February)

- ADI software uses the ESFA calculations and allows for checking before returning an ILR
- In absence of ESFA specification the ADI software confirms their calculation method
- ADI software enables programme aim exports to support providers doing data checks

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## ADI R06 version downloads



<https://apprenticeshipdata.co.uk/software/>

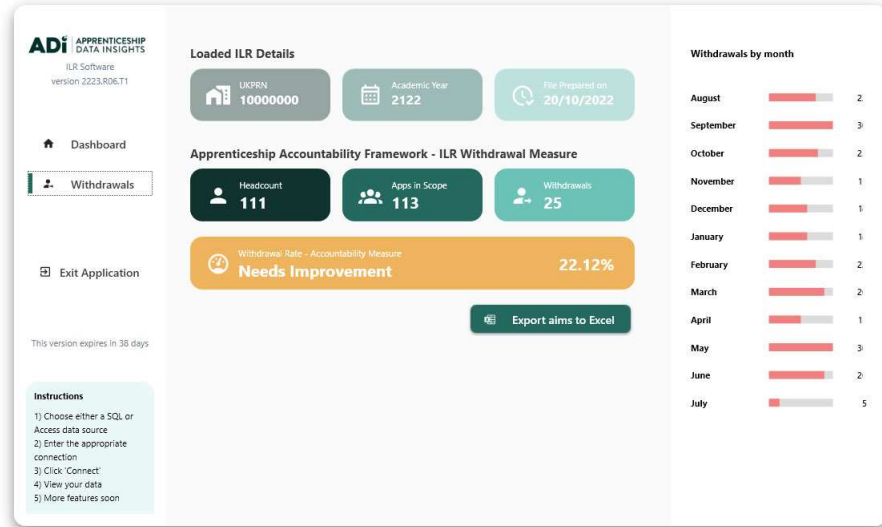
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## Withdrawals page - as per the ESFA's AAFD



This page remains unchanged from the POC version of the ADI software

The figures will match exactly with the AAFD in the AFED on the VYED (if they don't then please do get in touch with me)



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## Monthly release schedule



Version	ADI release 2nd Tuesday of the month (incl 11am webinar)	ILR deadline 4th working day of the month
R06	10/01/2023	06/02/2023
R07	14/02/2023	06/03/2023
R08	14/03/2023	06/04/2023
R09	11/04/2023	06/05/2023
R10	09/05/2023	06/06/2023
R11	13/06/2023	06/07/2023
R12	11/07/2023	04/08/2023

<https://apprenticeshipdata.co.uk/software/>

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# 5. The employer and apprentice rating calculations



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## Employer and apprentice feedback ratings

Indicator	At risk	Needs improvement
<b>Quality indicators</b>		
Employer feedback as collected via the <a href="#">Find Apprenticeship Training Service</a>		Average feedback less than 2.5
Apprentice feedback		

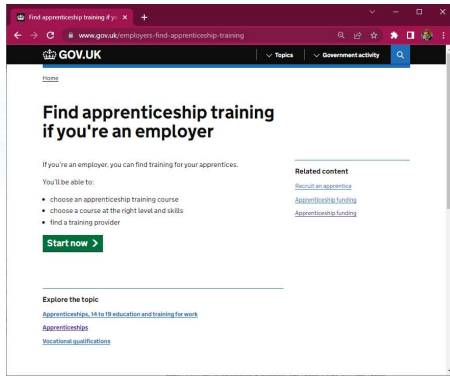
ESFA said in May: “We will provide updated information in due course in relation to the thresholds for Apprentice Feedback” and we’re still waiting...

And “Data will be utilised for accountability purposes once a sufficient number of apprentices have submitted feedback.”

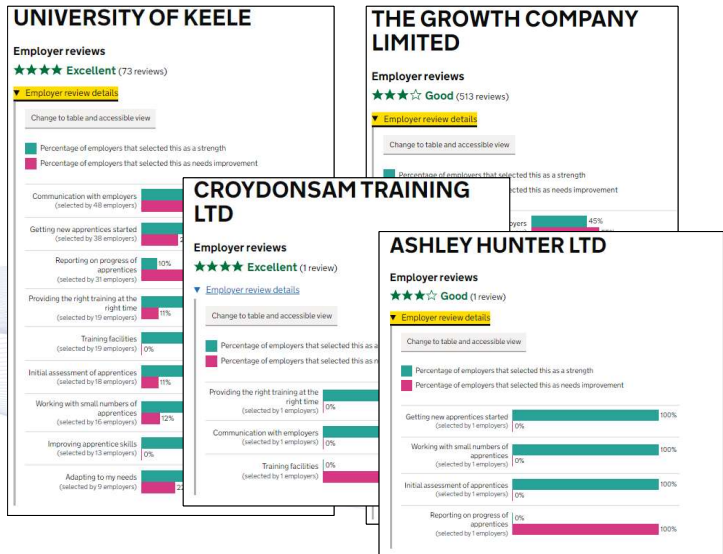
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# Employer feedback

Employers can give their answers via a section within the Apprenticeship System called "Feedback on training Providers". They are also sent an email invitation to complete the feedback survey every 90 days



<https://www.gov.uk/employers-find-apprenticeship-training>

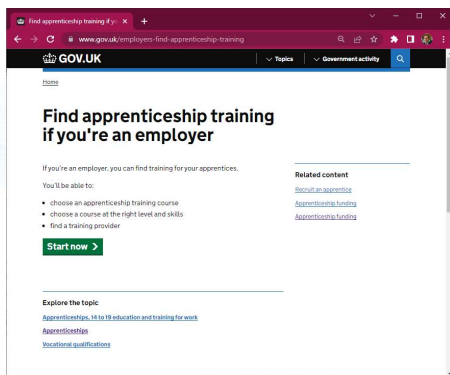


What we don't yet know is how these numbers result in an average number (like 2.5) for the provider

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# Apprentice feedback

Apprentices can give anonymous feedback from their My Apprenticeship account. They can start giving feedback 3 months into their training and can update it every 3 weeks. Results require minimum of 10 responses.



<https://www.gov.uk/employers-find-apprenticeship-training>



**What apprentices are asked**

The apprentice is asked whether they agree or disagree with the following:

Do you think [training provider] is providing the following aspects of your apprenticeship training to a reasonable standard?

- Organising well-structured training
- Communicating clearly with you
- Providing accessible training resources
- Balancing online learning with classroom-based training to suit your apprenticeship
- Taking into account previous learning
- Helping you learn new skills and develop existing ones
- Giving you relevant training that helps you perform your job better
- Training that takes up at least 20% of your total apprenticeship time
- Supporting you and your apprenticeship
- Responding to your needs
- Ensuring you understand the requirements of your end-point assessment
- Preparing you for success in your future career

How would you rate [training provider]'s training?

- Excellent
- Good
- Poor
- Very poor

<https://help.apprenticeships.education.gov.uk/hc/en-gb/articles/6048897654546-Apprentice-Feedback>

This does not appear to be published anywhere?

What we don't yet know is how these numbers result in an average number (like 2.5) for the provider

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# 6. Off The Job data and threshold



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## Off The Job Training

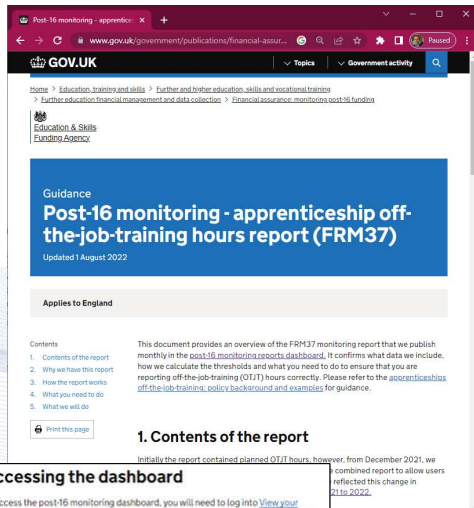
Indicator	At risk	Needs improvement
<b>Quality indicators</b>		
<b>Supplementary indicators</b>		
Off The Job Training (OTJT) as collected via FRM37 report of <a href="#">Financial Assurance: Monitoring post-16 funding for 2021 to 2022 - GOV.UK (www.gov.uk)</a>	Based on the FRM37 report, greater than 20 records OR one or more apprentices reported with 0 planned hours OR 0 actual hours (on apprenticeship completion)	Based on the FRM37 report, greater than 15 records for planned hours OR one or more records for actual hours

This report identifies programmes where either the planned and/or actual OTJT hours reported on the ILR are below the 20% minimum. To do this we review all apprenticeship programme aims where either the:

- planned OTJT hours are reported, or
- the programme is completed (completion status code 2) and the actual OTJT hours are reported.

This measure is likely to change over time, not least as the 20% minimum has been replaced for starters from 1 August 2022. Presently it seems to just be a type of funding error check. Really it should always be zero

<https://www.gov.uk/government/publications/financial-assurance-monitoring-post-16-funding/post-16-monitoring-apprenticeship-off-the-job-training-hours-report-frm37>



### Accessing the dashboard

To access the post-16 monitoring dashboard, you will need to log into [View your education data](#). 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", following which you should see a link to the "post-16 monitoring reports dashboard" along with any other dashboards you have access to.

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# Off The Job Training reports in PDSAT

A new online version of PDSAT has been delayed, but is expected to be launched next month for analysis of 2022/23 data

Two reports (22A-216 and 22A-217) should really help for 2021/22

Unclear how this would change following new definition of minimum hours

## 22A-216: Planned off-the-job training hours

Funding model: 36

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

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

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

## 22A-217: Actual off-the-job training hours compared to those planned

Funding model: 36

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

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

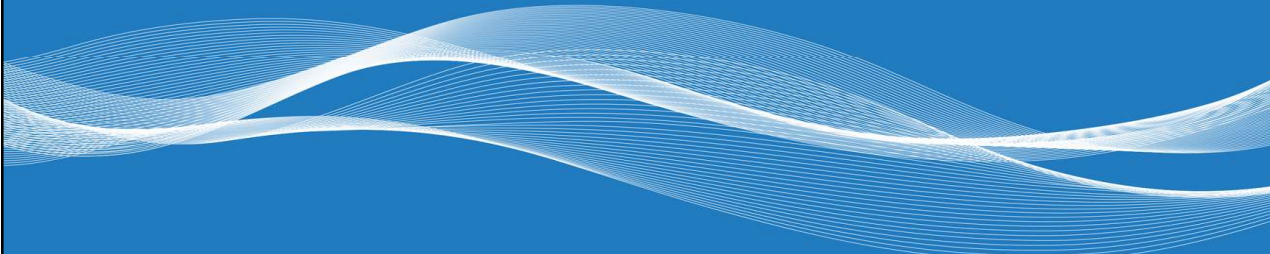
It is quite feasible for the number of actual off-the-job training hours recorded in the ILR


Report title	Report purpose	Report implications	Report logic
Planned off-the-job training hours	Identifies apprenticeship programmes with planned off-the-job training hours that may not meet the minimum requirement.	Where the number of planned off-the-job training hours recorded in the ILR is lower than a notional calculated minimum requirement, using the apprenticeship programme's planned duration, statutory annual leave entitlement and the least possible employment hours derived from the employment intensity indicator, this means that an apprentice is not undertaking the required amount of off-the-job training, risking the apprenticeship's eligibility for funding.	Identify learners with ZPROG learning aims WHERE FundModel = 36, LearnStartDate >= 01/08/2019, RES < 1 AND Phours < minimum planned hours, based on apprenticeship programme duration in weeks (adjusted for statutory annual leave entitlement) x least number of weekly employment hours, derived from EI x 20%
Actual off-the-job training hours compared to those planned	Identifies apprenticeship programmes with fewer actual off-the-job training hours than planned off-the-job training hours	It is quite feasible for the number of actual off-the-job training hours recorded in the ILR to be less than the number of planned off-the-job training hours, such as where an apprenticeship is delivered over a shorter duration than that planned. Providers must be able to justify any instances appearing in this report.	Identifies learners with ZPROG learning aims WHERE FundModel = 36, LearnStartDate >= 01/08/2019, OrigLearnStartDate Is Null, RES (Restart indicator) <> 1, LearnActEndDate Is Not Null, CompStatus In (1, 2) AND Phours > OTIActHours.

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

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## 7. Learners past planned end date and breaks in learning





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# Learners Past Planned End Date

Supplementary indicators		
Indicator	At risk	Needs improvement
Learners Past Planned End Date	Of total number of apprentices, the percentage of apprentices past planned end date by 365 days or more is greater than 15%	Of total number of apprentices, the percentage of apprentices past planned end date by =>180 days and <365 days is greater than 15% OR where the number of apprentices identified is greater than 250

## 22A-504: Learners in learning beyond their learning planned end date

Funding models: 35, 36, 81

Lists learners and their learning aims where, as at the earlier of the date on which the provider prepared its ILR data return and 31 July 2022, apprentices in learning and other learners either in learning or withdrawn had passed their planned end date.

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

- Apprentices that left without achievement or that are still in learning, beyond their programme learning planned end date.

Again - PDASTs can help identify issues

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

Report ID	Report title	Report purpose	Report implications	Report logic
21A-504	Learners in learning beyond their learning planned end date	Lists learning aims for apprentices continuing in learning or leaving without achievement, beyond their programme planned end date, and other learners that continue in or leave learning without achievement, beyond their learning planned end date.	Learners and learning aims listed should be reviewed by the provider in order to ascertain whether learners are still in learning or have completed or withdrawn, and whether withdrawal dates are accurate, as any inaccuracies may lead to incorrect funding being claimed.	Identify learners with ZPROG learning aims WHERE FundModel In (35, 36, 81), ProgType is an apprenticeship (2, 3, 20, 21, 22, 23, 25) AND EITHER (LearnActEndDate is Null AND (earlier of ILR Creation Date and 31/07/2021) > LearnPlanEndDate) OR (Outcome is not achieved AND LearnActEndDate > LearnPlanEndDate) and return all learning aims with same ProgType, FworkCode, PwayCode, StatCode for learners identified UNION Return all learning aims WHERE FundModel = 35, ProgType is not an apprenticeship (Not In (2, 3, 20, 21, 22, 23) Or Is Null) AND EITHER (LearnActEndDate is Null AND (earlier of ILR Creation Date and 31/07/2021) > LearnPlanEndDate) OR (Outcome is not achieved AND

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# Breaks in learning

Supplementary indicators		
Indicator	At risk	Needs improvement
Breaks in learning	Of total number of apprentices, the percentage of apprentices identified on a break in learning by 365 days or more is greater than 15%	Of total number of apprentices, the percentage of apprentices identified on a break in learning by =>180 days and <365 days is greater than 15% OR where the number of apprentices identified is greater than 250

## 22A-510: Long breaks in learning with no resumption

Funding models: 35, 36, 81

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

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

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

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

Again - PDASTs can help identify issues

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

Report ID	Report title	Report purpose	Report implications	Report logic
21A-509	Breaks in learning where learning is not re-planned on return	Identifies learners and any learning aims recorded as a break in learning where the learner returns but the learning planned end date is not amended to account for the time spent on the break in learning.	When a learner returns from a break in learning, the resumption in learning needs to be planned to account for the time spent on the break in learning, with a revised learning planned end date that is likely to be different to the original learning planned end date.	Returns learning aims WHERE FundModel In (35, 36, 81), CompStatus = 6 AND there is a subsequent learning aim record in the ILR WHERE LearnAimRef = LearnAimRef of the learning aim identified above, LearnStartDate > LearnActEndDate of the learning aim identified above AND LearnPlanEndDate = LearnPlanEndDate of the learning aim identified above.
21A-510	Long breaks in learning with no resumption	Identifies learners and any learning aims recorded as a break in learning where a year or more has elapsed with no resumption in learning.	Where a learner agrees with the provider to take a break in learning, there must be evidence that the learner agrees to return and continue with the same learning aim, otherwise the learner must be reported as withdrawn. Whilst there is no defined length of an agreed break in learning, if a year has elapsed and the learning has not resumed, the provider should consider the likelihood of the learner returning and update the completion status of the learner as necessary. This report may also identify under-claims of funding where learners have resumed and the ILR has not been updated accordingly.	Returns learning aims WHERE FundModel In (35, 36, 81), CompStatus = 6, LearnActEndDate < (earlier of ILR Creation Date and 31/07/2021) AND the difference between LearnActEndDate and (earlier of ILR Creation Date and 31/07/2021) > = 1 year AND there is no other learning aim record in the ILR WHERE LearnAimRef = LearnAimRef of the learning aim identified above AND LearnStartDate > LearnActEndDate of the learning aim identified above.

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# 8. End-point assessment org data

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## End-point assessment org data

Indicator	At risk	Needs improvement
End Point Assessment Organisation Data	Apprentices where there is no End Point Assessment Organisation identified within 3 months of planned end date	Apprentices where there is no End Point Assessment Organisation identified within 3 to 6 months of planned end date

**Again - PDASTs can help identify issues**

**22A-215: Apprenticeship standards with no end-point assessment organisation**

*Funding model: 36*

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

Employers must select an end-point assessment organisation and negotiate a price for end-point assessment before learners reach the gateway and move onto end-point assessment. The end-point assessment organisation must be in place at least six months before the learner reaches the gateway<sup>21</sup>.

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

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

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

Report ID	Report title	Report purpose	Report implications	Report logic
21A-215	Apprenticeship standards with no end point assessment organisation	Identifies apprenticeship standards that are approaching or past their planned end date where there is no record of an end point assessment organisation.	Employers must select an end-point assessment organisation and negotiate a price for end-point assessment at least three months before learners reach the gateway and move onto end-point assessment. Without an end-point assessment organisation in the ILR, the provider cannot report the negotiated price for assessment in the ILR and receive any associated earnings.	Identify learners with ZPRQG learning aims WHERE FundModel = 36, ProgType = 25, EPACrID Is Null, LearnActEndDate Is Null AND (earlier of ILR Creation Date and 31/07/2021) is within 3 months of, or beyond, LearnPlanEndDate.

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## 9. How AF feeds into ESFA intervention

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### ESFA intervention

“The apprenticeship accountability framework is for all apprenticeship provision at all ages and applicable for all providers from the academic year 2021 to 2022”

“From April 2022, we will use the indicators and thresholds set out at table 1, throughout the year as the starting point for informing where there may be areas of concern. We expect providers to respond proactively to issues and areas identified for rapid improvement. Where we think it is necessary, we will seek further information or assurance from a provider that issues are being addressed. Where we are not assured, we will take action to enforce contractual requirements and where appropriate facilitate or signpost opportunities for further support.”



#### Apprenticeship Accountability Framework Technical Specification 2021 to 2022

For all age apprenticeships

Version 2.0: May 2022

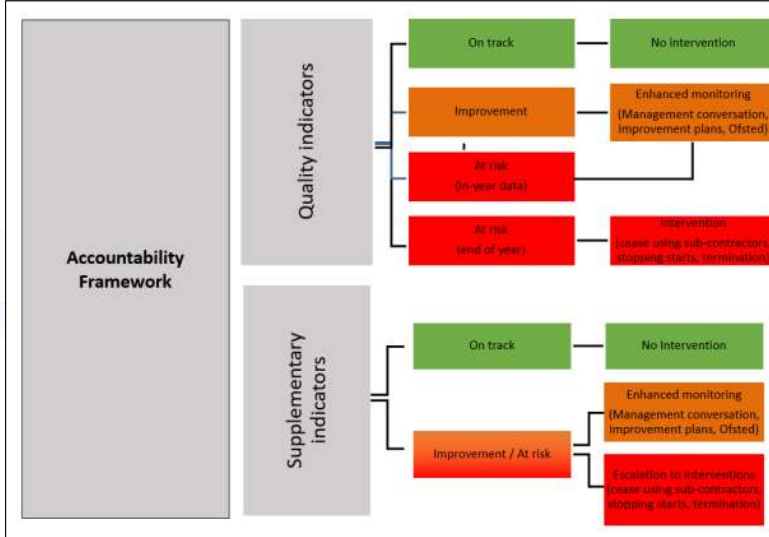
This document sets out the detailed approach on applying the apprenticeship accountability framework, as first published in August 2021. It outlines the revised thresholds for 2021 to 2022 academic year for various quality indicators that form part of the apprenticeship accountability framework and how we will apply them for this first year. The specification has been updated to reflect clarifications from version 1 and to include information about the thresholds for Off the Job Training (OTJT), achievement and retention rates.

We continue to welcome feedback on how we can make the specification clearer or better to understand. Please email feedback to [provider.strategy@education.gov.uk](mailto:provider.strategy@education.gov.uk) by 1 September 2022. We will take the feedback received into consideration when we next update the specification.

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1078727/Apprenticeship\\_Accountability\\_Framework\\_Technical\\_Specification\\_2021\\_to\\_2022.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1078727/Apprenticeship_Accountability_Framework_Technical_Specification_2021_to_2022.pdf)

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## Quality indicators v supplementary indicators



Given Ofsted is quality indicator, seems odd that intervention only described as 'end of year'

The supplementary indicators feel more like funding errors that you can check using PDSAT - hence termination could be immediate (not year end)

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1078727/Apprenticeship\\_Accountability\\_Framework\\_Technical\\_Specification\\_2021\\_to\\_2022.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1078727/Apprenticeship_Accountability_Framework_Technical_Specification_2021_to_2022.pdf)

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## Types of intervention

I think you should work on the basis that even enhanced monitoring is intervention. So, all providers will want to avoid even that label

Note:

“We may also consider the profile of a provider’s cohort when we review provider performance and intervention based on the quality indicators.” - what does that mean in practice??

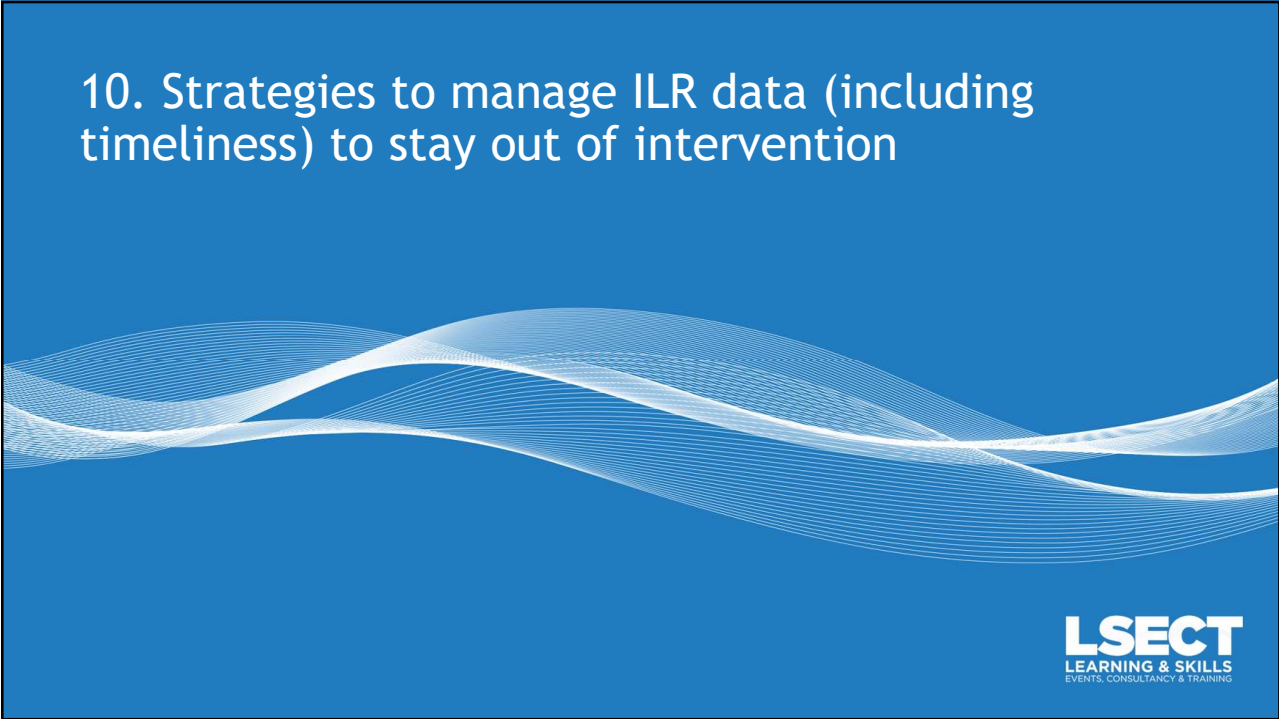
The list of potential interventions below is not an exhaustive list of available interventions and is included for illustrative purposes only.

Type of intervention	Description
Enhanced monitoring	<p>Likely to include the provider being required to produce a quality improvement plan which will be challenged on reasonable progress and evidence of impact.</p> <p>More regular meetings to discuss planned improvements and/or impact of mitigating actions taken by the provider and in-year reporting of progress.</p>
Conditions of funding/additional contractual obligations.	<p>Likely to include improvement targets, usually linked to the provider’s own improvement plans. Failure to meet the target(s) could result in termination or more conditions.</p> <p>May include restrictions on recruitment. This could be stopping starts on an apprenticeship standard or all starts. Restrictions would usually be time-based or linked to further reviews of quality indicators.</p> <p>Possible restrictions on sub-contracting. Could be used to remove the ability to sub-contract, especially where management of sub-contracting is evidenced as poor.</p>
Termination	<p>Used where the provider has demonstrated that they are incapable of improving, either through poor management or an inability to change within a reasonable timescale.</p>

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1078727/Apprenticeship\\_Accountability\\_Framework\\_Technical\\_Specification\\_2021\\_to\\_2022.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1078727/Apprenticeship_Accountability_Framework_Technical_Specification_2021_to_2022.pdf)

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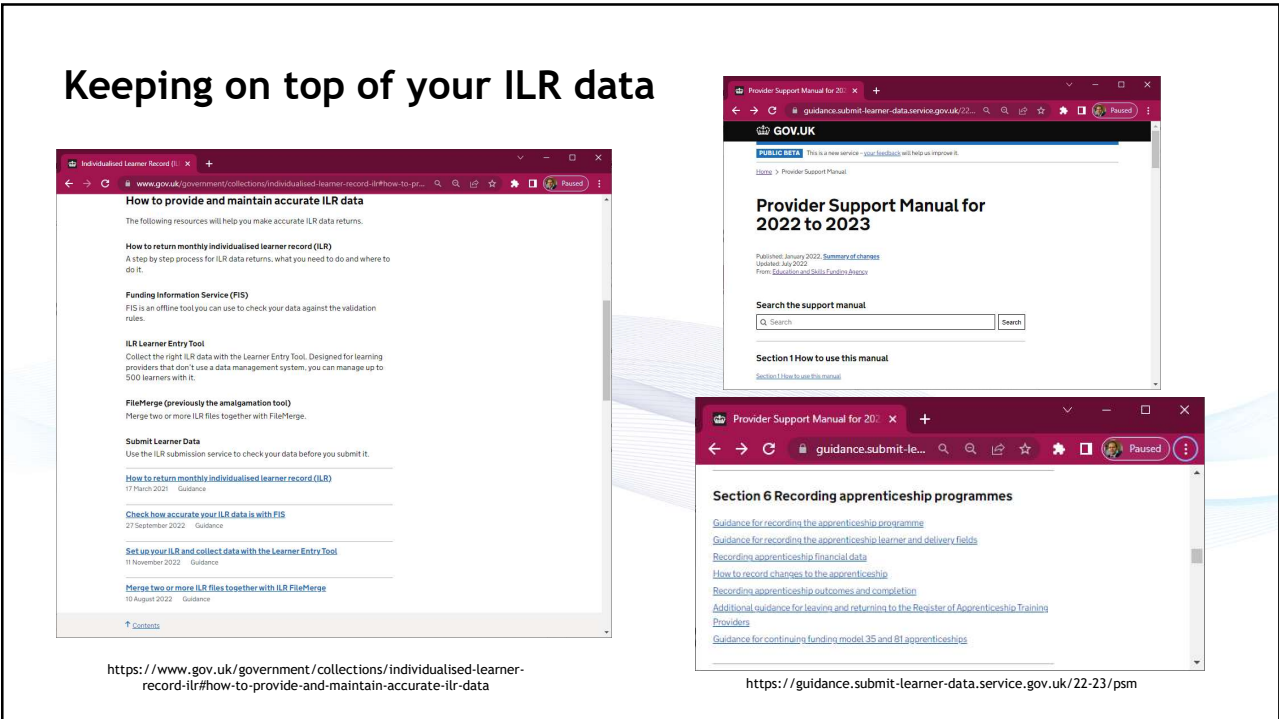
# 10. Strategies to manage ILR data (including timeliness) to stay out of intervention



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## Keeping on top of your ILR data



**How to provide and maintain accurate ILR data**

The following resources will help you make accurate ILR data returns.

- How to return monthly individualised learner record (ILR)**  
A step by step process for ILR data returns, what you need to do and where to go to.
- Funding Information Service (FIS)**  
FIS is an offline tool you can use to check your data against the validation rules.
- ILR Learner Entry Tool**  
Collect the right ILR data with the Learner Entry Tool. Designed for learning providers that don't use a data management system, you can manage up to 500 learners with it.
- FileMerge (previously the amalgamation tool)**  
Merge two or more ILR files together with FileMerge.
- Submit Learner Data**  
Use the ILR submission service to check your data before you submit it.
- How to return monthly individualised learner record (ILR)**  
17 March 2021 Guidance
- Check how accurate your ILR data is with FIS**  
27 September 2022 Guidance
- Set up your ILR and collect data with the Learner Entry Tool**  
11 November 2022 Guidance
- Merge two or more ILR files together with ILR FileMerge**  
10 August 2022 Guidance

<https://www.gov.uk/government/collections/individualised-learner-record-ilr/how-to-provide-and-maintain-accurate-ilr-data>

**Provider Support Manual for 2022 to 2023**

**Section 6 Recording apprenticeship programmes**

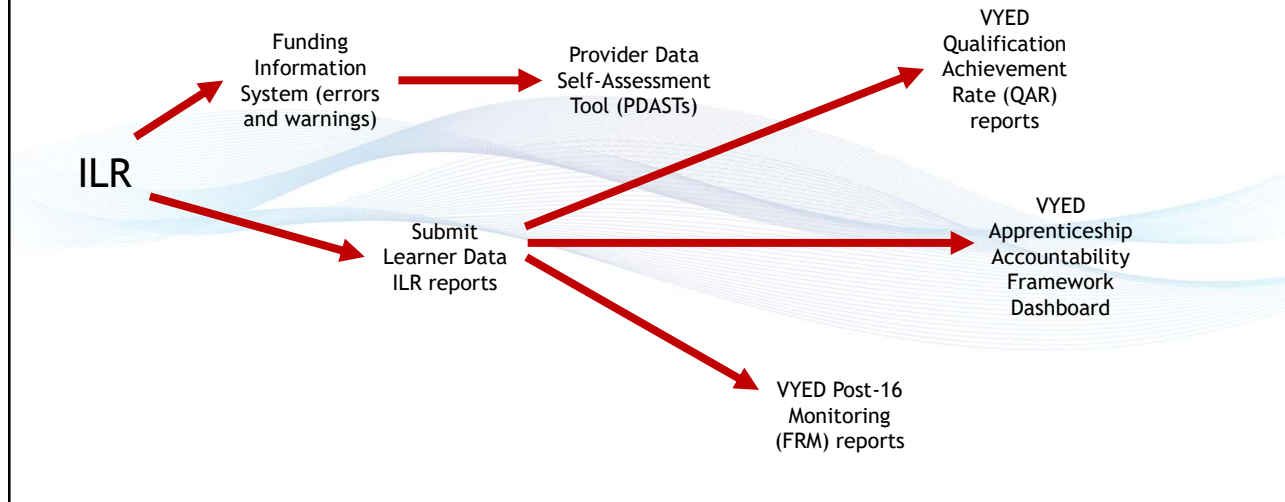
- [Guidance for recording the apprenticeship programme](#)
- [Guidance for recording the apprenticeship learner and delivery fields](#)
- [Recording apprenticeship financial data](#)
- [How to record changes to the apprenticeship](#)
- [Recording apprenticeship outcomes and completion](#)
- [Additional guidance for leaving and returning to the Register of Apprenticeship Training Providers](#)
- [Guidance for continuing funding model 35 and 61 apprenticeships](#)

<https://guidance.submit-learner-data.service.gov.uk/22-23/psm>

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# Keeping on top of your ILR data

ESFA tools...



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# Timeliness becomes more important

Funding Model (FM)	Contract Type	Return Number													
		R01	R02	R03	R04	R05	R06	R07	R08	R09	R10	R11	R12	R13	R14
All Apprenticeships	All	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Main data use	- Payments	- Payments	- Payments	- Payments - Qualification achievement rates 2021 to 2022	- Payments	- Payments - Allocations	- Payments	- Payments	- Payments	- Payments	- Payments	- Payments - Year-end performance review	- Payments	- Final reconciliation - Qualification achievement rates 2022 to 2023.

<https://guidance.submit-learner-data.service.gov.uk/22-23/ilr/appendices>  
[https://assets.ctfassets.net/6h6ixebpdwm/6NULZJuaEn5r1ggHuOcaNF/24be28ae389439abdc709a7f35/ea8af1/ILR\\_Appendix\\_A\\_data\\_collection\\_timetable\\_22\\_23\\_v1.pdf](https://assets.ctfassets.net/6h6ixebpdwm/6NULZJuaEn5r1ggHuOcaNF/24be28ae389439abdc709a7f35/ea8af1/ILR_Appendix_A_data_collection_timetable_22_23_v1.pdf)

**There is always more checking and double-checking you can do. So, what is a reasonable amount of resource relative to the volume and complexity of the provision?**

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## *Future webinars - register at [www.lsect.co.uk](http://www.lsect.co.uk)*

- > 11 January - Apprenticeships and PDSAT
- > 12 January - Using FIS and ILR Funding Reports
- > 17 January - Apprenticeship Funding 2022/23
- > 18 January - Apprenticeship Accountability Framework
- > 1 February - Making sense of achievement rates
- > 22 February - Lsect Annual Data Conference (London)
- > 20 March - T-Level funding - an essential guide

Thank you

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## Final Q&A

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