

Coding the ILR for WMCA flexibilities 2020/2021

Version 1 – August 2020

This document sets out the details of data about Further Education (FE) learners, and their learning that must be collected by colleges, independent training providers and local authorities contracted by the West Midlands Combined Authority (WMCA).

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West Midlands
Combined Authority

Introduction

This document provides a technical specification of ILR data collection requirements, for those who make data returns, implement data specifications and design information systems; including management information (MI) managers, software writers and suppliers.

The data collected is used to calculate funding due to FE providers, for performance monitoring, future planning and to ensure that public money is being spent in-line with WMCA priorities.

The funding model being referred to within this document is for Funding Model 35 and will reference those learners only with a WMCA home postcode at the start of each learning aim undertaken. The source of funding for WMCA funded learners is 112.

The WMCA postcode list will be published by the ESFA on the 1st August 2020.

The information here does not cover information already provided to providers by the ESFA within the following, but not limited to:

- ILR specification, validation rules and appendices 2020 to 2021
- Provider Support Manual 2020/21
- The WMCA Funding and Performance Management Rules 2020/21

Please read the requirements for Funding Model 35 in the above documents before reading the following document.

This guidance will go through how the WMCA will require the provider to code specific fields in the ILR depending on if the aim is being funded via grant (non-procured) or procured, following a bid for growth (colleges) or competitive tender (Independent Training Providers).

The document will refer to the use of Devolved Area Monitoring (DAM) codes. These codes will be used to monitor delivery of specific priorities in the WMCA. They are similar to Learning Delivery Monitoring (LDM) codes (used for ESFA funded learners) but these are required for use with aims funded by combined authorities only. There will be six DAM code fields available to be used against each learning aim.

Learners Unemployed and NOT in receipt of Benefits

For all providers who wish to fully fund unemployed learners who are **not** in receipt of benefits (on aims up to and including level 2), the ILR must be coded as follows:

ILR Name	ILR code	Mandatory	Notes
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
BSI	null	Y	Benefit Status Indicator must be left blank or null
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
FundModel	35	Y	
SOF	112	Y	
FFI	1	Y	Fully Fund the aim
DAM	023	Y	Prevents validation error
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award

All unemployed learners are fully funded according to WMCA funding rules. However, providers previously were not able to process an unemployed learner unless they were on benefits due to ESFA validation rules. By using DAM code 023 providers can fully fund the learner without inputting any Benefit Status Indicator.

The 'Other Funding Adjustment' field is not required and should be left blank.

Low Wage Pilot (Employed Learners)

For all providers with low wage employed learners, providers will need to use the following DAM code:

010 Devolved AEB Low Wage

The DAM code above is to be used for the learners funded by the WMCA.

**Please note that LDM code 363 is only to be used for learner's resident in non-devolved areas where the source of funding remains 105.*

Where this DAM code is used for employed learners with evidenced low wage satisfying the following conditions:

- Eligible for Co-Funding (for Entry, Level 1 and Level 2) and
- Earning less than the living wage, and
- Enrolled onto a learning up to and including Level 3

The ILR must be coded as follows:

ILR Name	ILR code	Mandatory	Notes
EmpStat	10	Y	Employment Status at the start of the learning aim
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
FundModel	35	Y	
SOF	112	Y	
FFI	1	Y	Fully Fund the aim
DAM	023	Y	Prevents validation error
DAM	010	Y	For Low Wage WMCA learners, use this DAM code
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award

Using the above combination will allow providers to fully fund the learner as part of the low wage pilot, without the need to calculate OtherFundAdj i.e OtherFundAdj should be left blank

For low waged learners DAM code 023 must be used alongside 010. DAM code 023 will switch off the validation rules and DAM code 010 will identify it as a low waged learner. If the provider does not use DAM code 023, then the method described in the above table will not work.

If the provider is funding a Level 3 aim under Low Wage Pilot, the aim must be included on the Level 3 Entitlement list published by the ESFA.

Low wage ILR coding should not be used if activity is covered under legal entitlement (English, Math or 19-23 First Full L2/L3)

Learner is Unemployed, aged 24+ and studying their First Full Level 3

The WMCA will be fully funding those learners who are aged 24 or over, unemployed and are studying their first full level 3.

The following conditions apply:

- Aged 24 or over at the start of the aim
- Have an employment status of 11 or 12
- The learner has not studied a full level 3 or higher previously
- The Level 3 aim must be on the Entitlement list published by the ESFA

The ILR must be coded as followed:

ILR Name	ILR code	Mandatory	Notes
PriorAttain	9, 7, 1, 99, 2	Y	Entry, Other qualifications below level 1, Level 1, No Qualifications, Level 2
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	023	Y	Prevents validation error

Providers previously were not able to process an unemployed learner unless they were on benefits due to ESFA validation rules. By using DAM code 023 providers can fully fund the learner and not input any Benefit Status Indicator.

The 'Other Funding Adjustment' field is no longer required. Providers are expected to remove this from each learner i.e. OtherFundAdj should now be left blank

Level 3 Flexibility

For 20/21 level 3 aims delivered outside legal entitlement as part of the Level 3 flexibility should be coded as follows:

ILR Name	ILR code	Mandatory	Notes
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
FundModel	35	Y	
SOF	112	Y	
FFI	1	Y	Fully Fund the aim
OtherFundAdj	xxx	N	Depending on proportion agreed to be funded (25, 50 or 75)
DAM	023	Y	Prevents validation error
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award

Please note that the learner must first be assessed to see if they can exercise their legal entitlement at level 3

The only aims that can be delivered as part of level 3 flexibilities are those that the provider has had explicit written permission from the WMCA. Please ensure that you are aware of this, as the provider may not be funded for aims which are not pre-approved.

Within this approval process, providers will be told the amount of funding they will get for that aim depending on what has been agreed. The WMCA will state whether this is 25%, 50%, 75% or 100% of an aim value. Other than 100%, the amount agreed will need to go in the 'OtherFundAdj' field in the ILR.

The restriction on employment status has been lifted and there is no limitation to whether you wish to enrol an employed or unemployed learner to a level 3 flexibilities learning aim.

If the provider is delivering learning or training at level 3 that does not currently have a LARS code with an applicable Adult Skills funding rate, then the provider will need to contact WMCA (aebenquiries@wmca.org.uk). We will work with the ESFA to ask for a new LARS code to be generated and made available for use, but please note this could take up to a month to be created.

Level 4 Flexibility

For 20/21 level 4 aims, the ILR must be coded as followed:

ILR Name	ILR code	Mandatory	Notes
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
FundModel	35	Y	
SOF	112	Y	
FFI	1	Y	Fully Fund the aim
OtherFundAdj	xxx	N	Depending on proportion agreed to be funded (25, 50 or 75)
DAM	023	Y	Prevents validation error
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award

The only aims that can be delivered at level 4 are those that the provider has had explicit written permission from the WMCA. Please ensure that you are aware of this, as the provider may not be funded for aims which are not pre-approved.

Within this approval process, providers will be told the amount of funding they will get for that aim depending on what has been agreed. The WMCA will state whether this is 25%, 50%, 75% or 100% of an aim value. Other than 100%, the amount agreed will need to go in the 'OtherFundAdj' field in the ILR.

There is no limitation to whether you wish to enrol an employed or unemployed learner to a level 4 learning aim.

If the provider is delivering learning or training at level 4 that does not currently have a LARS code with an applicable Adult Skills funding rate, then the provider will need to contact WMCA. We will work with the ESFA to ask for a new LARS code to be generated and made available for use.

Sector Gateway / Pre-Employment Training

Those providers delivering a Sector Gateway (SG) programme on behalf of the WMCA will be aware that these are short programmes, usually about two weeks long designed to get learners directly into jobs straight after completion.

An SG programme will consist of the following aims:

- Main aim
- Optional employability aim
- Job Outcome aim

In the ILR the main aim will need to be coded as follows:

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Learning Aim Reference	Y	Must be one of the predefined aims, see below
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	023	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

The main aim will need to be selected from one of the following aims:

LearnAimRef	Title
Z0009143	Sector Gateway: Care Worker
Z0009144	Sector Gateway: Employability
Z0009145	Sector Gateway: Logistics
Z0009146	Sector Gateway: Retail and Customer Services
Z0009147	Sector Gateway: Security
Z0009148	Sector Gateway: Warehousing

If the main aim reference you wish to deliver is not one of the above, please contact the WMCA before you commence delivery of a new programme. Please note, a new aim could take up to a month to appear on LARS.

As part of Sector Gateway, the provider might wish to deliver an Employability aim within the programme. The aim has already been set up in LARS, and this is how we would like providers to return it in the ILR:

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Z0009142	Y	This aim must be used if the provider is delivering an Employability aim as part of Sector Gateway
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	2	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	042	Y	Component Aim of a SG Programme
DAM	23	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

If a provider wishes to be paid for a Job Outcome, then the provider will need to return the following information in the ILR:

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Z0009136	Y	Use for a learner aged 19 to 23 Job outcome payment
	Z0009137		Use for a learner aged 24+ Job outcome payment
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	2	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	042	Y	Component Aim of a SG Programme
DAM	23	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

For 20/21 the WMCA require the provider to submit the job outcome as an aim in the ILR. For the provider to claim a Job Outcome payment then the following conditions must be met:

- Learner has been employed for 13 consecutive weeks at the same employer
- The provider must retain signed evidence from the learner that they have worked with the same employer for 13 consecutive weeks. This evidence will need to be kept in the learner file and available for compliance officers to check if required.

There will be two different learning aims to choose from to make a Job Outcome payment one is related to learners aged 19 to 23 and the other is for a learner aged 24 or over. The aim to use relates to the age of the learner at the start of the programme. For example, if the learner starts a SG programme aged 23 but turns 24 when they get a job, then the provider would still use the 19-23 learning aim to claim a job outcome.

When submitting a Job Outcome aim in the ILR please code it in the ILR with a one-day duration and the same start date as the main aim of the Sector Gateway programme. For example:

A student is enrolled on a 'Sector Gateway: Logistics' programme with a start date of 03/08/2020 and a planned end date of 14/08/2020. The learner successfully completes the course as planned and moves into employment. In mid-November, the learner has been in a job for 13 consecutive weeks and the provider wants to submit a claim for a job outcome payment. Along with the ILR data in the table above, the provider would submit the following:

ILR Name	ILR Code
Start Date	03/08/2020
Planned End Date	03/08/2020
Actual End Date	03/08/2020
Completion Status	2
Outcome	1

We would also expect the learner's destination and progression record to accurately reflect the learner's journey from unemployment to employment.

Sector Based Work Academies (SBWA)

A Sector Based Work Academies (SBWA) programme will consist of the following aims:

- Main aim
- Optional component aim (Maths, English, etc)
- Optional employability aim
- Optional Job Outcome aim
- Optional Work Experience (via EAS)

In the ILR the main aim or a component will need to be coded as follows:

ILR Name	ILR code	Mandatory	Notes
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	013 or 016	Y	Main Aim (013) or Component Aim (016) of a SBWA Programme
DAM	023	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

As a minimum, the WMCA will expect each learner participating in the SBWA programme to have a main aim coded as 013. The main aim will need to be the vocational aim that the provider is delivering within the Sector Subject Area (SSA) providers are targeting. If the learner is undertaking more than one aim as part of their SBWA programme, then each of those additional aims will need to be coded with a DAM code of 016. The component aims may not necessarily be the same SSA tier as the main aim e.g. Maths and English.

As part of SBWA, the provider might wish to deliver an Employability aim within the programme. The aim has already been set up in LARS, and this is how we would like providers to return it in the ILR:

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Z0009142	Y	This aim must be used if the provider is delivering an Employability aim as part of SBWA
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	016	Y	Component Aim of a SBWA Programme

DAM	23	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null
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If a provider wishes to be paid for a Job Outcome, then the provider will need to return the following information in the ILR:

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Z0009142	Y	Use for a learner aged 19 to 23 Job outcome payment
	Z0009137		Use for a learner aged 24+ Job outcome payment
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	2	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	016	Y	Component Aim of a SBWA Programme
DAM	23	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

For 20/21 the WMCA require the provider to submit the job outcome as an aim in the ILR. For the provider to claim a Job Outcome payment then the following conditions must be met:

- Learner has been employed for 13 consecutive weeks at the same employer
- The provider must retain signed evidence from the learner that they have worked with the same employer for 13 consecutive weeks. This evidence will need to be kept in the learner file and available for compliance officers to check if required.

There will be two different learning aims to choose from to make a Job Outcome payment one is related to learners aged 19 to 23 and the other is for a learner aged 24 or over. The aim to use relates to the age of the learner at the start of the programme. For example, if the learner starts a SBWA programme aged 23 but turns 24 when they get a job, then the provider would still use the 19-23 learning aim to claim a job outcome.

When submitting a Job Outcome aim in the ILR please code it in the ILR with a one-day duration and the same start date as the main aim of the SBWA programme. For example:

A student starts a SBWA programme with a start date of 03/08/2020 and a planned end date of 24/09/2020. The learner successfully completes the course as planned and moves into employment. By the start of January 2021, the learner has been in a job for 13 consecutive weeks and the provider wants to submit a claim for a job outcome payment. Along with the ILR data in the table above, the provider would submit the following:

ILR Name	ILR Code
Start Date	03/08/2020
Planned End Date	03/08/2020

Actual End Date	03/08/2020
Completion Status	2
Outcome	1

We would also expect the learner's destination and progression record to accurately reflect the learner's journey from unemployment to employment.

Work Experience (WEX)

For those providers delivering WEX within a SBWA, providers will need to use the following DAM code:

014 Sector Based Work Academy Work Experience completion

When the learner has completed their WEX element, the provider will need to code the main learning aim (013) of the learner in the ILR with a second DAM code of 014. To claim the costs for the Work Experience (WEX) element of a SBWA programme, providers must complete the Earnings Adjustment Statement (EAS) via the *Submit Learner Data* portal on the ESFA site (formerly the Hub). The funding should be claimed in the month the learner(s) completed the work experience.

For example:

Provider A has 5 learners who have completed their WEX element in August 2020. For the R01 return, the provider will record each of these learners main learning aim with a DAM code of 014. Assuming each WEX completion is funded at £50, the provider will need to record £250 in the MCA/GLA Defined Adjustment 1 field within the EAS report.

The WMCA will monitor the learners claimed for in the occupancy report each month to avoid any duplicate payment in future returns.

Any learning aim delivered as part of the SBWA programme will be funded in the ILR as part of the normal monthly return cycle.

If the provider is delivering to unemployed learners who are not part of the SBWA programme, there is no DAM code required (other than the procured DAM code, if applicable).

Construction Gateway

For the 20/21 academic year Construction Gateway (CG) will be coming through the ILR. The only prerequisite for a learner undertaking a CG programme is that they must be unemployed the day before the course starts. The information in this section will detail how the WMCA expects providers to submit this information in the ILR every month.

When the learner enrolls, they will have one of three entry routes onto the CG programme, either:

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Z0009149	Y	Construction Gateway: Phase 1 (4 Week Programme)
	Z0009150		Construction Gateway: Phase 2 (Small Plant)
	Z0009151		Construction Gateway: Phase 2 (Large Plant)
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	2	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	23	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

The learner will initially enrol onto one of the above aims. If the learner undertakes and completes the Phase 1 programme, they have the option of moving onto one of the two Phase 2 aims. If the learner does this, then then the provider needs to additionally enrol them onto one of the Phase 2 aims above.

At any point during Phase 1 or Phase 2 the learner could complete one of the following assessments:

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Z0009155	Y	Construction Gateway: CPCS Blue Card
	Z0009156		Construction Gateway: CPCS Test
	Z0009157		Construction Gateway: CSCS Test
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	2	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	23	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

If the learner does complete this aim, then they will need to be enrolled onto one of the three aims above.

After the learner has finished one of the Phase 2 aims (or Phase 1 only) then they could do a Work Trial aim. If this is the case, then the provider will need to enrol the student onto the following aim:

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Z0009152	Y	Construction Gateway: Work Trial
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	002	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	023	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

The aim of CG is to get unemployed people into Construction jobs. There are two types of job outcome payments the WMCA will pay the provider if the learner moves into employment after finishing a CG programme.

ILR Name	ILR code	Mandatory	Notes
LearnAimRef	Z0009153	Y	Construction Gateway: Job Outcome: Day 1
	Z0009154		Construction Gateway: Job Outcome: Week 13
LSDPostcode	Learner Postcode	Y	Student must have a WMCA postcode
EmpStat	11 or 12	Y	Employment Status at the start of the learning aim
FundModel	35	Y	
SOF	112	Y	
DAM	2	Y	Required for Procured AEB i.e. All ITP provision and if activity is part of the Grant Growth Contract award
DAM	23	N	Prevents validation error - Use only if the learners Benefit Status Indicator (BSI) is null

As soon as the learner starts a job in the construction industry then the Day 1 learning aim in the table above needs to be returned. As soon as the learner goes onto complete 13 consecutive weeks with the same employer then the Week 13 learning aim can be returned. The provider must retain a signed declaration form from the learner if either one of the two outcome aims are submitted in the ILR. If a Day 1 and a Week 13 aim is submitted in the ILR then you will need a separated signed declaration for both.

When submitting a Job Outcome aim in the ILR please code it in the ILR with a one-day duration and the same start date of the first aim the learner undertakes in a CG programme. For example:

A student is enrolled on a 'Phase 2 (Small Plant)' programme with a start date of 03/08/2020 and a planned end date of 14/10/2020. The learner successfully completes the course as planned and moves into employment. In mid-November, the learner begins a job, these are the dates that need to go into the ILR:

ILR Name	ILR Code
LearnAimRef	Z0009153
Start Date	03/08/2020
Planned End Date	03/08/2020
Actual End Date	03/08/2020
Completion Status	2
Outcome	1

The learner has then been in the same construction job for 13 consecutive weeks and the provider wants to submit a claim for a job outcome payment. These are the dates that need to go into the ILR:

ILR Name	ILR Code
LearnAimRef	Z0009154
Start Date	03/08/2020
Planned End Date	03/08/2020
Actual End Date	03/08/2020
Completion Status	2
Outcome	1

We would also expect the learner's destination and progression record to accurately reflect the learner's journey from unemployment to employment.

'Response' based projects for COVID-19

Learning Delivery and Monitoring code - 368 – COVID-19 Temporary or Permanent Withdrawals

Code	368	
Title	COVID-19 Temporary or Permanent Withdrawals	
Description	To identify learners who have left their programme without achieving due to COVID-19, those who are being supported by the provider so they can return when it is safe to do so, or those who have transferred to another course due to COVID-19	
Funding Model	35	10

COVID-19 had a large impact on 2019/20 delivery and will continue to impact delivery patterns in 20/21. The introduction of this LDM code is to assess the level of impact on withdrawals, breaks in learning and transferrals to other courses, more suitable programmes as a direct result of COVID-19 allowing WMCA to conduct analysis on the impact of delivery within West Midlands Combined Authority.

The LDM code (368) will be entered into any of the 6 LDM fields on each affected learning aim alongside updating the learner's completion status to either 3 - The learner has withdrawn from the learning activities leading to the learning aim or 6 - Learner has temporarily withdrawn from the aim due to an agreed break in learning. This must be used alongside the appropriate withdrawal reason code. This includes withdrawal reason 40 - Learner has transferred to a new learning aim with the same provider as a direct result of COVID-19.

Learning Delivery and Monitoring code - 369 – COVID-19 New Programme Starts

Code	369	
Title	COVID-19 New Programme Starts	
Description	To identify learners when they start a programme implemented by the provider in response to COVID-19, with support to ensure they can start in learning when it is safe to do so.	
Funding Model	35	10

COVID-19 had a large impact on 19/20 delivery and will continue to impact delivery patterns in 20/21. The introduction of this LDM code is to assess those courses and starts within those courses which were initiated as a direct response to COVID-19 allowing WMCA to conduct analysis on the impact of delivery within the West Midlands Combined Authority.

The LDM code (369) will be entered into any of the 6 LDM fields on each learning aim start which was initiated as a direct response to COVID-19, including new blended programmes in addition to new provision. Please do not confuse this code with a Devolved Area Monitoring (DAM) Code.

Use of this LDM code will only be used for those aims that have been pre-approved by the WMCA.

Additional ILR coding for procured Lot 3 delivery

The following guidance will show providers how to code the Individualised Learner Record (ILR) for providers that have been successful in securing allocations for Lot 3:

- Innovation (Lot 3)
- Birmingham 2022 Commonwealth Games (Lot 5)
- Coventry UK City of Culture 2021 (Lot 6)

LOT 3 – ILR Coding funding and EAS claims

Innovation

Due to its flexible nature funding for delivery will depend on the type of provision delivered:

- For ESFA fundable learning aims: Learning aims should be coded in the ILR as normal and thus the standard ESFA funding methodology will be applied and funding will be reported in the occupancy report

or

- For non ESFA fundable aims: Funding will be wholly claimed via the Earning adjustment Statement (EAS) for any monies due on that month. This, in general, will be made up of a claim for engagement, on-programme or outcome(s)

There may be rare instances where a combination of both the above is required.

For 2020/21 the EAS claim spreadsheet has three MCA/GLA adjustments where you can claim funding for a particular month.

For LOT 3 (Innovation) delivery you are required to **only use two of these**, namely;

MCA/GLA Defined Adjustment 2 – for any Engagement claims costs for a particular month – this will be the total value claimed for all engagement in that month e.g. if 50 learners started at a cost of £50/engagement then the cost claimed for that month would be £2500.

MCA/GLA Defined Adjustment 3 – for any on programme and/or outcome costs for particular month - this will be the total value claimed for all on-programme and outcomes in that month e.g. if 30 learners are due £40 each for on-programme and 10 learners are due £100 each for achievement then the claim will be $30 \times £40 + 10 \times £100 = £2200$

DAM Codes

The table below lists the Devolved Area Monitoring (DAM) Codes that have been set-up by the ESFA for WMCA to be able to identify and monitor LOT 3 delivery.

Code	Monitoring Requests	Description
017	Innovation Engagement Payment	This code will monitor the initial engagement of Innovative Learning Programmes in delivering local priorities.
018	Innovation On-Programme Payment	This code will monitor the continued learning within an Innovative Learning Programme in delivering local priorities.
019	Innovation Outcome Payment Type 1	This code will monitor when a learner has completed their Innovative Learning Programme. Additional guidance will be given to the use of the various Outcome Payment Types
020	Innovation Outcome Payment Type 2	This code will monitor when a learner has completed their Innovative Learning Programme. Additional guidance will be given to the use of the various Outcome Payment Types
021	Innovation Outcome Payment Type 3	This code will monitor when a learner has completed their Innovative Learning Programme. Additional guidance will be given to the use of the various Outcome Payment Types

ILR Coding

Aims funded via the standard ESFA funding methodology

For such aims the ILR should be coded as usual. The standard funding methodology will be applied by the ESFA and the funding will be shown as usual in the FIS occupancy report.

All aims must be flagged with DAM code 017. This is to identify the aims as being part of LOT 3 innovation.

If, and only if, you are claiming any **additional monies** associated with the above aim (i.e. **over and above** ESFA generated funding values) then the learner should **also** be enrolled on aim **Z0008587**. Additional monies are only expected to be for engagement or additional outcomes (other than achievement). Aim **Z0008587** (*Non regulated Adult skills formula funded provision, Entry Level, History, Up to 2 hrs, PW A*) is being used purely as a dummy aim so that we can identify learners on innovative delivery where you are claiming additional monies for ESFA funded aims. **Any funding value generated for this aim in the occupancy report or any other FIS funding reports should be ignored.**

The ILR values for this aim (**Z0008587**) should be set as follows:

Funding model = 35

Source of Funding = 112

Full or co-funding indicator (FFI) = 2 (co-funded)

Funding adjustment for prior learning (PriorLearnFundAdj) = 1 (this is to minimise the funding generated in any FIS funding reports)

The table below explains how you claim additional funding via the Earnings Adjustment Statement (EAS) each month.

Additional Funding for	DAM code to be used	EAS claim values
Engagement	017	For the month you are claiming this funding the value to be claimed should be added in to MCA/GLA Defined Adjustment 2 . e.g. 10 learners each with an engagement claim of £100 then £1000 should be included in this EAS claim for that month.
Outcome	019-021	If an additional outcome is being claimed – Please see table on page 11 for appropriate DAM code to be used

Provision NOT funded via the standard ESFA methodology

For all such activity the learner should also be enrolled on aim **Z0008668**. Aim **Z0008668** (*Non regulated Adult skills formula funded provision, Entry Level, Geography, 3 to 4 hrs, PW B*) is being used as a dummy aim so that we can identify learners on innovative delivery. **Any funding value generated for this aim in the occupancy report or any other FIS reports should be ignored.**

The ILR values for this aim (**Z0008668**) should be set as follows:

Funding model = 35

Source of Funding = 112

Full or co-funding indicator (FFI) = 2 (co-funded)

Funding adjustment for prior learning (PriorLearnFundAdj) = 1 (this is to minimise the funding generated in any FIS funding reports)

The table below explains how you claim funding via the Earnings Adjustment Statement (EAS) each month.

Funding claim for	DAM code to be used	EAS claim values
Engagement	017	For the month you are claiming this funding the value to be claimed should be added in the EAS MCA/GLA Defined Adjustment 2 . e.g. 10 learners each with an engagement claim of £100 then £1000 should be included in this EAS claim for that month.
On-programme	018 (to be added to the aim if an OPP claim has been made via EAS)	Any on-programme payments for a particular month must be included in the EAS MCA/GLA Defined Adjustment 3 .
Outcome 1	019 (to be added to the aim if an achievement claim has been made via EAS)	Any achievement payments for a particular month must be included in the EAS MCA/GLA Defined Adjustment 3 .
Outcome 2	020 (to be added to the aim if a progression claim has been made via EAS)	Any progression payments for a particular month e.g. progression to mainstream learning or higher paid job must be included in the EAS MCA/GLA Defined Adjustment 3 .
Outcome 3	021 (to be added to the aim if any other outcome claim has been made via EAS)	If any other outcome is being claimed e.g. permanent accommodation in the EAS MCA/GLA Defined Adjustment 3 for the month claimed

*Note: Once a DAM code has been recorded against a learning aim then it should not be removed unless a data error has been made. If an incorrect claim has been made, then the EAS should be amended in the next return e.g. Suppose £500 was incorrectly claimed for OPP in the **March 2021** EAS return (i.e. in **MCA/GLA Defined Adjustment 3**). In the next ILR return the EAS value for **March** should be amended and £500 deducted. Also, the DAM codes for the associated aims should be removed if no funding claim has been made.*

Provider Tracking of EAS Claims

During the year the WMCA will check on the EAS claims made to ensure that they are in line with delivery plans.

It is suggested that providers create and maintain a simple tracking sheet at learner and aim level to record the EAS claimed each month for each learner and aim for each element of innovative delivery i.e. engagement, on-programme and outcome.

Below are suggested column headings:

Provider UKPRN
Learner ULN
Learning Aim ref
Start Date
Planned End Date
Actual End Date
Completion Status
Outcome

For each month (with DAM Codes and EAS fields):

Engagement EAS claimed	(017)	Value included in EAS MCA/GLA Defined Adjustment 2
OPP claimed	(018)	Value included in EAS MCA/GLA Defined Adjustment 3
Outcome 1 claimed	(019)	Value included in EAS MCA/GLA Defined Adjustment 3
Outcome 2 claimed	(020)	Value included in EAS MCA/GLA Defined Adjustment 3
Outcome 3 claimed	(021)	Value included in EAS MCA/GLA Defined Adjustment 3

LOT 5 - Birmingham 2022 Commonwealth Games

For any aims that are part of Lot 5 Commonwealth Games, the WMCA expect one of the six available DAM codes to be populated with DAM code 032 in the providers ILR submission.

LOT 6 - Coventry UK City of Culture 2021

For any aims that are part of Lot 6 Coventry City of Culture, the WMCA expect one of the six available DAM codes to be populated with DAM code 033 in the providers ILR submission.

Earnings Adjustment Statement (EAS)

The EAS is a way to record some types of funding that providers cannot report in the ILR.

The following guidance will detail how the provider will use EAS in terms of the following two lots:

- Sector Based Work Academy Work Experience
- Innovation
- Excess Learning Support

Within the EAS file there will be two different types of Adult Education Funding Lines, non-procured and procured. Providers will need to populate the appropriate lines dependent on the type of aims being claimed funding for.

If providers are claiming funding for Lot 1 SBWA then providers will need to input work experience claim in the line(s) detailed 'MCA/GLA Defined Adjustment 1'. This line (either procured or non-procured) will be used to look to see how much funding in total providers are claiming for the successful completion of work experience as part of a SBWA.

If providers are claiming for Lot 3 Innovation, then the following fields will need to be used:

MCA/GLA Defined Adjustment 2 – Total monthly claim for engagement

MCA/GLA Defined Adjustment 3 – Total monthly claim for on-programme payment and outcomes

How to create and submit an EAS claim (Subject to ESFA update)

To submit an EAS claim, providers must upload a CSV (comma-separated values) file to the Submit Learner Data portal. The format of which will remain the same throughout the entire academic year.

When adding claims to your CSV file, providers should use a separate row for each funding line (FundingLine) and category (AdjustmentType) that they are claiming against in any given month. The provider must also ensure they have supporting evidence for each claim they make.

Each row in the EAS CSV file represents a value for delivery in a calendar month and year. We will add together the values from each month to calculate total earnings.

If providers need to change or add EAS values for a previous calendar month, they would include these changes in their latest CSV file along with values for the latest month.

For instance, the CSV files submitted in November 2020 could include rows with Calendar Months from 8 to 11, representing August to November.

The validation rules will prevent providers returning data for calendar months after the month relating to the current collection. For example, the R06 collection in the 2020 to 2021 year is open until 04 February 2021, but the latest calendar month which may be returned in this file is calendar month 1 (January) in calendar year 2021.

Providers should only return records for delivery that has taken place within the associated funding year.

For example, a provider can submit an EAS for the 2020 to 2021 year any time up to the close of R14 in October 2021, but it will only affect EAS funding earned on activity that took place in the 2020 to 2021 funding year between August 2020 and July 2021.

Each time providers submit an EAS claim the CSV file should include the rows for any previous claims from the current academic year.

Not including rows from previous claims will remove them from your EAS data. This means we will subtract any funding associated with those rows from the next payment that will be made. Providers must continue to submit any data submitted previously. Any previous month claims should remain unaltered, unless the WMCA have audited and asked the file to be adjusted.

Providers would only need to submit an EAS claim for SBWA if they wish to claim any funding for the reporting month in question or need to make a change to previous months claims. If providers have nothing to claim in the reporting period and/or no changes to make in previous months, then we do not require providers to submit an EAS return for SBWA.

Filename

Providers must give all files a specific filename followed by the CSV file extension. The filename format is EASDATA-LLLLLLL-yyyyymmdd-hhnnss.CSV

The filename is case sensitive and has several sections separated by hyphens: Each section in the filename represents a specific piece of information.

- LLLLLLL - the UK provider reference number (UKPRN) which is eight characters.
- yyyyymmdd-hhnnss - the date and time stamp when you generated the file. This should appear in the format above and be 15 characters long, with a hyphen separating the date and time (y is the year, m is the numerical value of the calendar month, d is the numerical value of the day, h is the hour in 24-hour format, n is the minute and s the second).

Submission

This file will be needed to be uploaded to the ESFA's Submit Learner Data portal in line with the data collection timetable for ILR returns 20/21.

Destination and Progression data

As stated in paragraph 93 of the WMCA Funding Rules 20/21:

‘...all destinations and/or progression details are a mandatory requirement for WMCA residents, this includes Community Learning...’

As most providers will know, all AEB providers are mandated to populate the learner’s destination after they have finished their learning aim otherwise this will cause an ILR error. What we do not expect is this to be populated with ‘Not Known’ or ‘Other’. Many providers automatically default to one of these two destinations as soon as it appears as an error in their rule violations.

Destination and Progression is a very important metric to the WMCA and it helps us to understand the learner journey and whether provision is meeting West Midlands priorities.

Regardless of whether the provision you are delivering has a job outcome payment attached to it, we expect the learner destination and progression entity in the ILR to accurately reflect the learner’s journey. Providers must be able to substantiate destinations reported as part of any audit/compliance review.

We will closely monitor this entity in 20/21 and will be speaking to those providers that we feel are using ‘Not known’ or ‘Other’ more than we would expect and ask them to take corrective action.

Data Validation

Below are the current validation rules the WMCA will use in 20/21:

- Providers can only use DAM code 001 if they have had approval from the WMCA. This DAM code allows the provider to fund learners outside the WMCA region and switches off the current postcode validation rules. If the provider uses DAM code 001 for a postcode within the WMCA, we will invalidate this aim and it will not be funded.
- Grant providers (with aims that are part of a successful growth bid) and **ALL** Independent Training providers must use DAM code 002. This code is required to distinguish procured AEB from allocated AEB.
- The WMCA will not fund an aim if the provider returns an Employment Status of 98 - Not known / not provided. We expect all our providers to collect an employment status of either 10, 11 or 12.
- The WMCA will not fund providers if DAM code 010 is returned for an aim for a learner with an Employment Status of 98, 11 or 12. DAM code 010 is to be used for EMPLOYED low waged learners and they must be coded with an employment status of 10.
- The use of Postcode ZZ99 9ZZ in the Learning Start Date Postcode – LSDPostcode field must be kept to a minimum. This postcode is intended to be used where the postcode is unknown, or the learner is in a postcode that is not in the latest FIS validation but in the WMCA. We expect this to be checked and updated every month by the provider.
- The WMCA will monitor the use of DAM code 023 and if it is not used in one of the ways detailed in this document then the WMCA will not pay for it.