



Education & Skills
Funding Agency

Managing Exceptions

User Guide

July 2018

Audience: LRB Batch File users

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1 Contents

1.1 Purpose

This guide provides information and guidance for schools to manage their exceptions.

1.2 Overview

The batch file process returns details on the success of the entered learner's details. It also provides details for learners that the LRS cannot register, known as 'Exceptions';

Exceptions need to be resolved so that new ULNs can be obtained or personal information is updated. Within your output file that you download either from the LRS Organisation Portal or receive via Web Services, you will notice a column or tag of return codes. Each return code relates to different issues with the data you originally submitted, and requires further action to resolve.

1.3 Exception Process

The Exception process is an online procedure to help schools provide additional/corrective information to resolve any exceptions. Once a batch file has successfully been processed by the LRS, an output file is returned and available to you to download. The output file contains a list of return codes. These codes describe whether a ULN has been found, a new one created, or if an Exception has been found which needs to be investigated.

There are two ways to enter the Exceptions process:

- Analyse the Exceptions for an individual batch file by viewing the uploaded file within the portal
- View all outstanding exceptions for your organisation through the view exceptions section of the portal

2 Managing your exceptions

To resolve your exceptions, please log into the [LRS Organisation Portal](#) with your username and password. For a list of different types of exceptions, and recommendations of next steps to resolve the problem, refer to [Section 3](#).

2.1 Viewing Exceptions

You can view all exceptions for your organisation, or view exceptions within a single file. The actions that you take within each option are the same in either case.

2.1.1 Viewing all Exceptions for your organisation

- Select the "Learner Management" tab
- Select "Learner Management" from the left hand menu
- Select "View Exceptions"



Welcome

Learner Management

Find a Learner

Register Learner

Submit Batch Registration

View Batch Registration

View Exceptions

2.1.2 Viewing all Exceptions for a single file

- Select the “Learner Management” tab
- Select “Learner Management” from the left hand menu
- Select “View Batch Registration” ○ You will now see all batch files uploaded by your organisation within the last 90 days
- Select “View Exceptions” for the batch file

3.2 Filters

The filter button (+) allows you to apply your own filtering criteria to files or exceptions.

To apply a filter:

- Select one or two options from the available drop downs.
- Select “Apply Filter” to redisplay the files or exceptions where the selected criteria is true.
- To remove a filter, select the “Clear Filter” option.

3 Exceptions Descriptions

The following is guidance to help you work through your exceptions showing on the LRS Organisation Portal.

3.1 RC006 Insufficient data to create a ULN

RC006 is returned when LRS fails to create a ULN as one or more of the mandatory fields have not been supplied. This is usually the Verification Type and/or Ability to Share.

How to process



When you go to process this exception, you will have two possible options – “Cancel” or “Register New Learner”.

If the “Cancel” option is selected, you return to the “View Exceptions” screen.

If the “Register New Learner” option is selected, you will need to complete the new registration. Any supplied fields will be entered for you, and you will need to provide the additional information.

3.2 RC007 Possible Matches

RC007 is returned when you have tried to register a learner for a new ULN but the system believes one exists with similar (but not exact) information.

You should always check the following before processing this exception:

- Has the learner moved address and do the details need updating?
- Have the day and month from the Date of Birth been transposed?
- If the learner’s name different from your records? I.e. your records show the learner’s preferred name but the LRS holds the learner’s legal name.
- Has the learner’s gender been recorded correctly? (1 – male, 2 – female)

How to process

When you process this exception, the possible matches are listed and an option (+) to expand one or more of the searched results to check that it is the record that matches with your entry.

If you can confirm that one of the search results is your learner:

- Select the corresponding checkbox
- Select from one of the following options: ○ “Select this Learner” OR
- “Select and Update Learner”

For the “Select this Learner” option, you can verify the details held by the LRS are correct and don’t want to update any of the fields.



The “Select and Update Learner” button displays the View Learner Profile screen, where the “Select Learner” button processes the exception only. This will update the ULN record with the information you have submitted in the batch. You will be re-directed to the “View Learner Profile” screen. This screen will display any updates submitted in the batch, plus the current information held by the LRS.

NOTE: If the batch only contains a postcode update, the system does not automatically remove all other address details. The current address details held by the LRS will be displayed and you won’t be able to edit the information from the process exceptions screen.

To edit the learner’s details, you will need to search for the learner and edit their details from their profile.

Do not select a learner unless you are sure that the ULN belongs to them. If you are unsure, confirm the information currently on the ULN with the learner first.

If none of the search results presented are your learner:

- Select “Register This Learner”.
- You will then go through the usual register learner process.

NOTE: you should only create a new ULN if you are sure that none of the ULNs belong to your learner, if you are unsure, complete all necessary checks with the learner before creating a new ULN.

4.3 RC008 Too Many Possible Matches

RC008 is returned when the system fails to find an exact match, and the system finds 10 or more possible matches. Always check the following:

- You are not searching using the default postcode
- Try including a previous family name in your search/batch file.

How to process

When you process this exception, you will be presented with a screen and a message “Too many records match your search results”. If you are unable to refine your search, please contact the [LRS Service Desk](#) for assistance.

4.4 RC009 – RC011

These exceptions may have an issue because some of the details are wrong or missing. The details provided in your file are used to populate both the “Provided Details” and the “Find by Personal Details”. If you are processing multiple duplicate exceptions, the MIS Identifier field will show a link to a pop-up window, listing all of the MIS identifiers for the duplicates that are being processed.



4.4.1 RC009 No ULN Created

RC009 is returned when the ULN supplied in your original file has not been recognised by the LRS.

You should try checking the ULN, Given Name and/or Family Name in the database against those submitted in your batch file.

4.4.2 RC010 Null Values

RC010 is returned when one or more of the mandatory fields is blank, apart from the Given Name or Family Name.

You should try checking all mandatory fields have been completed; gender, date of birth and postcode. For a full list of fields and mandatory fields, please see Appendix A

4.4.3 RC011 Incorrect Format

RC011 is returned when the record submitted within in the original batch file does not meet LRS formats.

You should try checking the following:

- The learner is aged 13 years and above
- A valid verification type is supplied, between 0 and 7 or 999. If 999 is selected, Verification Other Description becomes a mandatory field.
- Check that none of the fields contain prohibited text. A list of prohibited values is available from the [GOV.uk website](https://www.gov.uk).
- Last Known Postcode field does not contain a prohibited postcode value.
- The Ability to Share field has a valid code; ☐ 0 – Privacy Notice has not been seen and shared with the learner.
 - ☐ 1 – Privacy Notice has been seen and shared with the learner.
- The Ability to Share field is not attempting to be changed from 1 to 0. Once a PN has been set to seen, it is unable to be changed to not seen.

4.5 Steps to process RC009 – RC011

Completing and/or updating the information, including the mandatory fields, will allow the full registration of a new learner, and will return a Unique Learner Number.

From the exceptions list, select the “Process” hyperlink on the far right column of the individual record. You will have two possible options, “Cancel” or “Register New Learner”.

4.6 RC013 Learner(s) outside of permitted age range

Check the date of birth value complies with the permitted age range. Between the ages of 11 and 110.



5 Duplicate Exceptions

If an organisation submits the same learner details multiple times, and receives the same return code each time, these will be marked as duplicates until processed. These are identified by the link “Process Duplicates”, which will take you to the “Process Duplicates” screen.

How to process

By selecting “Process All” from this screen it will resolve all duplicates, whereas selecting “Process Single” will only resolve the identified exception.

NOTE: this screen will show all duplicate exceptions across all files, no matter what filter settings were applied to the exceptions list. Therefore, the number here may be higher than the total number of duplicates displayed on the exceptions list page.



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6 Completed Processing Exceptions – What Next?

Although exceptions are deleted automatically when you select one of the following options:

- Select this Learner,
- Select and Update Learner
- Register New Learner buttons,

However some additional management may still be required.

From the Exception list, or Process Duplicate Exceptions screen, simply select the check boxes of the exceptions to be deleted, and select the “Delete Selected Records” button.

NOTE: you cannot do this where duplicate exceptions are hidden.



Appendix A – Batch File fields

| Name | Example Data | Description | Validation Rules |
|--------------------|----------------------------|--|---|
| FileVersion | 2A | Version of the file being submitted. Relates to the Organisation Portal software version, although the value is only changed when the file format changes. | Mandatory. Must show '2A'. Must appear in first data row only. |
| FileName | ULN search September 15 | Your file reference for internal purposes | Mandatory. Maximum 512 characters. Must appear in first data row only. |
| UKPRN | 10012345 | Your UK Provider Reference Number (UKPRN) as a Learning provider. | Mandatory. Must be 8 characters. Must match the UKPRN held within the LRS. |
| LearnerRecordCount | 214 | The number of learner records in the file. | Mandatory. Must be the number of data rows present in the file – number of lines in the file minus 1. Must appear in first data row only |
| ULN | 1234567899 | Unique Learner Number | Optional. 10 digit number |
| MISIdentifier | ABC123 | An internal ID used by the LRB. Note that this is not stored within the Organisation Portal Secure Portal but is returned in the output file. | Optional. Maximum length 128 characters |
| Title | Ms | Title | Optional. 35 characters maximum |
| GivenName | Ann | Given Name | Mandatory. 35 characters maximum |

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|------------------------------|------------------|--|---|
| PreferredGivenName | Annie | Preferred Given Name | Optional. 35 characters maximum. If not provided, will be populated by value provided in GivenName. |
| MiddleOtherName | Jane | Middle Other Name | Optional 35 characters maximum. |
| FamilyName | Jones | Family Name | Optional 35 characters maximum. |
| PreviousFamilyName | Smith | Previous Family Name | Optional 35 characters maximum. |
| FamilyNameAt16 | Evans | FamilyNameAt16 | Optional 35 characters maximum. |
| SchoolAtAge16 | Myton School | Free text. Name of school the learner was attending when he / she turned 16. | Optional. 254 characters maximum |
| LastKnownAddressLine1 | 51 The Avenue | First line of address | Optional. 50 characters maximum |
| LastKnownAddressLine2 | First Floor Flat | Second line of address | Optional. 50 characters maximum |
| LastKnownAddressTown | Bedford | Town | Optional. 50 characters maximum |
| LastKnownAddressCountyorCity | Bedfordshire | County of City | Optional. 50 characters maximum |
| LastKnownPostCode | N17 6EE | Last Known Post Code | Optional if ULN present, otherwise mandatory. Please refer to Appendix E for Valid Postcode Rules |
| DateOfAddressCapture | 2016-01-01 | Date Of Address Capture | Optional. YYYY- MM-DD format. If not provided, will default to the system date |

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|-------------------------|-------------------|---------------------------|---|
| DateOfBirth | 2001-11-15 | Date Of Birth | Optional if ULN present, otherwise mandatory. YYYY-MM-DD format Age must be between 11 and 110 years. |
| PlaceOfBirth | Guildford | Place of birth | Optional. 35 characters maximum |
| EmailAddress | annie@email.co.uk | Email Address | Optional. Must be valid email format. Please refer to Appendix F for Valid Email Rules. |
| Gender | 2 | Gender | Optional if ULN present, otherwise mandatory. Options: 0 = Not Known. (Gender not recorded) 1 = Male 2 = Female 9 = Not Specified. (Unable to be classified) |
| Nationality | GBR | Nationality | Optional. Two or three characters or 3 digits CDD compliant code Maximum 3 characters. Please refer to Appendix G. |
| ScottishCandidateNumber | 123456789 | Scottish Candidate Number | Optional. Maximum 9 characters |

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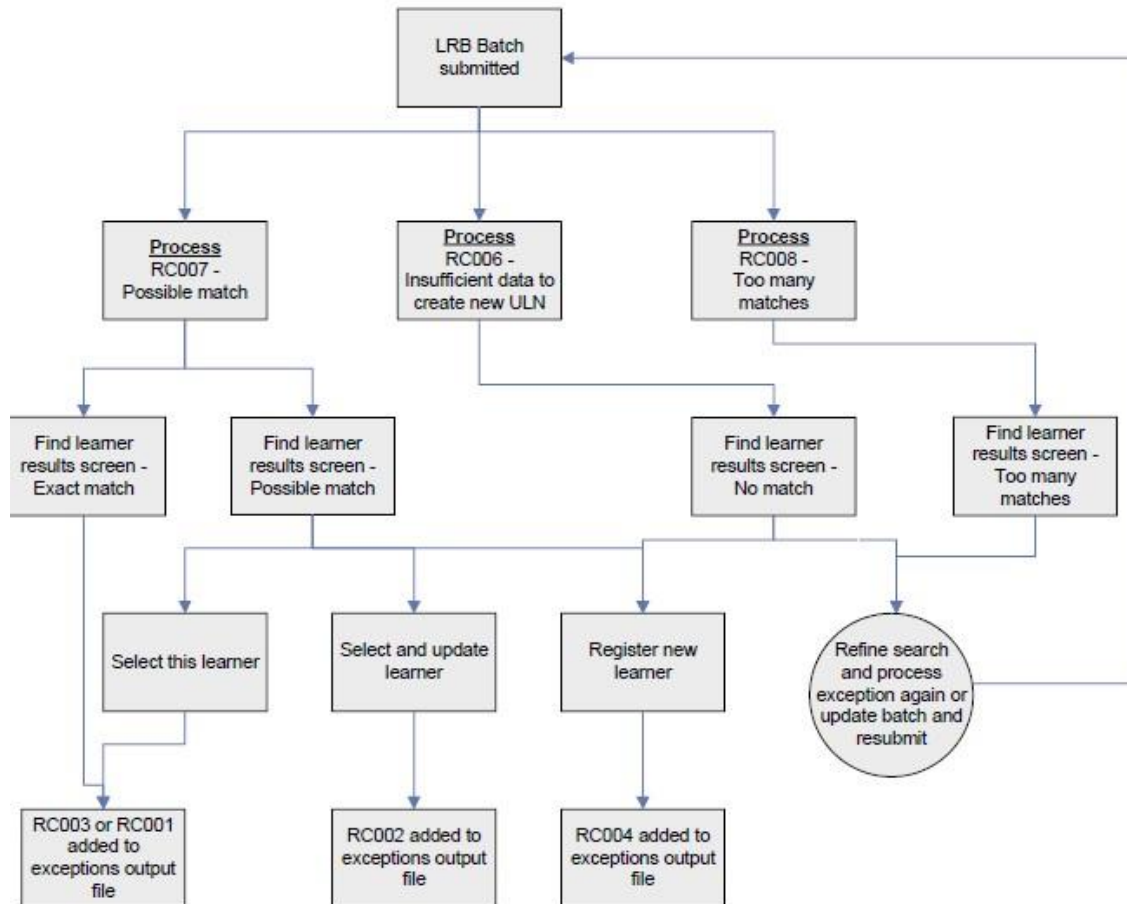


| | | | |
|------------------------------|------|---|--|
| AbilityToShare | 0 | Ability to share information provided to the Learning Records Service | Optional. (Mandatory if creating a new ULN). Must be 0, 1 or 2, where 0 = 'FPN not seen' 1 = 'FPN Seen and able to share data' 2 = 'FPN Seen and unable to share data' <i>If this value is set to anything other than 0, it cannot be reset to 0. If it has been set by the learner themselves it cannot be changed by LRBs.</i> |
| VerificationType | 1 | Verification Type | Optional. (Mandatory if creating a new ULN). Must be one of: 0=None provided 1=Relationship with school |
| | | | 2=Passport 3=Driving licence 4=ID Card or other form of national identification 5=National Insurance Card 6=Certificate of Entitlement to Funding 7=Bank/Credit/Debit Card 999=Other |
| OtherVerificationDescription | Visa | Free text description of other verifications documentation | Should be empty unless Verification Type = 999 (Other). 55 characters maximum |
| Notes | | Any extra information about the learner. NB: this field for LRS use only. | Optional. 4000 characters maximum. |



Appendix B – Exception Process flowcharts

RC006, RC007 and RC008



RC009, RC010 and RC011

