

Unique Learner Number

Guidance for Voluntary and Community
Organisations in Northern Ireland



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Contents

Introduction	3
About the Unique Learner Number	3
Use of ULNs in Northern Ireland	3
About this Guidance	3
Section One: General Guidance around the ULN Process	5
Initial check to determine if learners already have a ULN	5
Your Organisation Registration/Enrolment Forms	5
Consider the volume of ULN applications you are making	6
Stage 2 – Registering with the Learning Records Service (LRS)	9
Learning Provider Organisation Registration Form	9
LRS Learning Provider Agreement	10
Successful LRS Registration	10
Stage 3 – Gathering Data and Bulk Upload Application for ULNs	11
Step 1: Gathering Learner Data	11
Manually generating a ULN for a learner	12
Step 2: The Batch Upload	13
Stage 4 – Processing ULN Returns	19
Dealing with Exceptions	20
Additional Guidance	27
Useful Contacts	29
Appendix 1 - Privacy Notice Information and Finalised Privacy Notice	30
Appendix II – Example of a Completed .CSV File	33

Introduction

About the Unique Learner Number

The Unique Learner Number (ULN) is a 10 digit randomised number used in education in Northern Ireland, England and Wales. The number is generated for learners from the age of 14, and is used in schools, colleges, and training institutions. The number is principally used for examination entries.

The ULN is attached to a Personal Learning Record (PLR). The PLR is an electronic record of all learning and achievements. When a learner's ULN is used for examination entries, it will match the information and achievements from different awarding organisations into the PLR. This includes qualifications in formal educational environments, such as schools or colleges, as well as qualifications taken outside of these environments, such as sports coaching or music qualifications.

Taken together, the ULN and PLR are intended to make the storing, personal access and sharing of educational achievements quicker and easier, allowing learners to share their information electronically, and streamlining applications for further study, training, and employment.

ULNs are generated by the Learning Records Service (LRS), a public body house based in England. The LRS has agreements in place with the Department of Education (DE) and the Department for the Economy (DfE) to operate in Northern Ireland.

Use of ULNs in Northern Ireland

ULNs have been operational in Further Education (FE) colleges in Northern Ireland since 2011/2012. Introduced by the Department for Employment and Learning (DEL), now the DfE, ULNs were generated for all registered learners in the FE sector to comply with funding requirements established by the department, support recognition of learner achievement, and support progression into further education, training, and employment.

In September 2015, DE mandated that all school learners from Year 11 onwards should have a ULN for qualification entry purposes. From September 2017 onwards, it is anticipated that all learners aged 14 + will have a ULN.

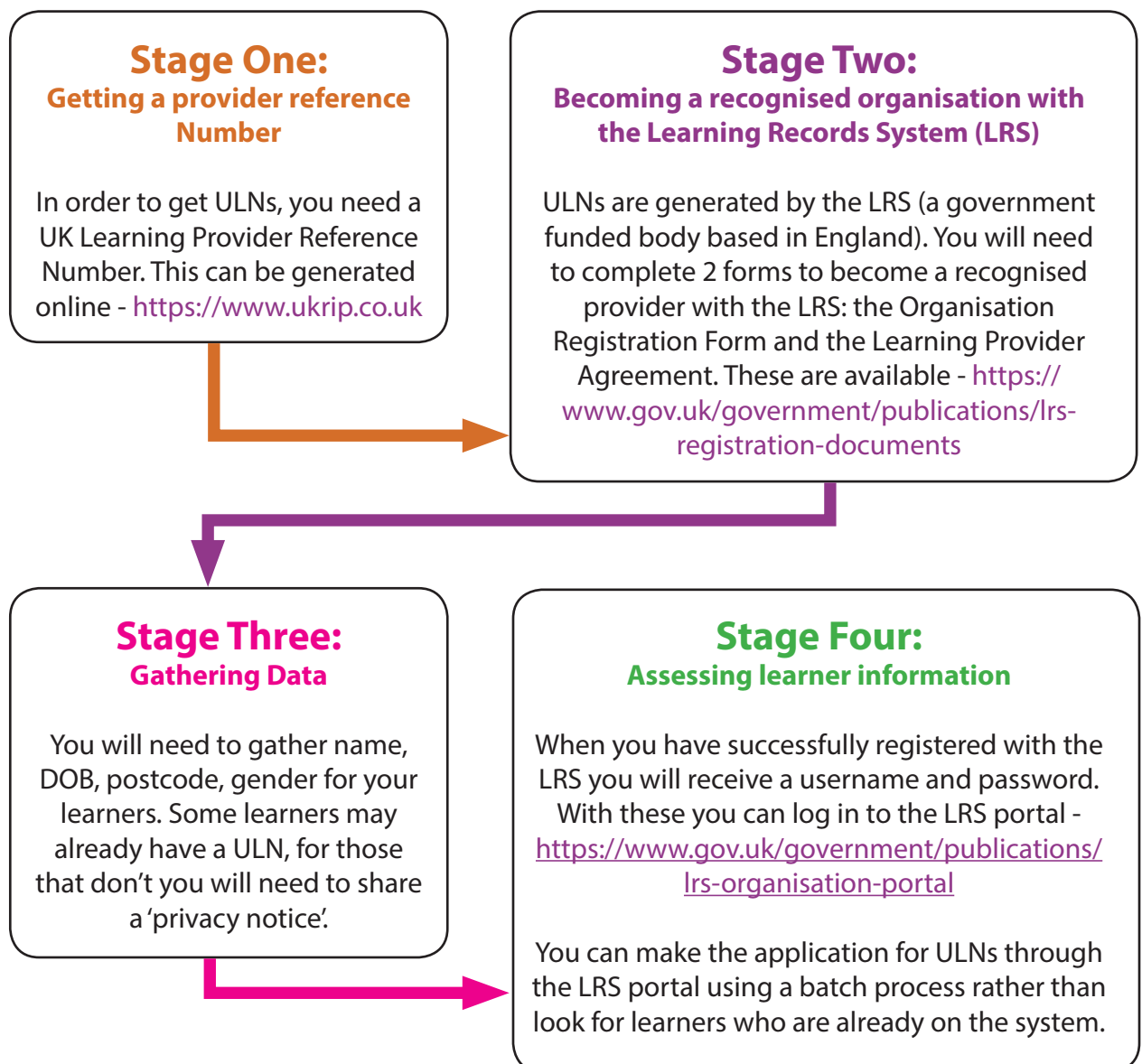
Call II European Social Funding (ESF) provision will require organisations to use ULNs. This will require some administrative action on the behalf of each organisation in order to be compliant with this requirement. Examination entries made to awarding organisations will also require ULNs for learners.

About this Guidance

This guidance document has been developed to assist you through the process of initially

registering with the LRS, and making your first application for ULNs. The document is designed to be a reference tool as you continue to manage and administer ULNs in your organisation.

There are four stages (outlined below) that you have to follow sequentially as you approach the ULN process for the first time. On all subsequent occasions, you will only need to follow Stages 3 and 4. Please refer to the general guidance overleaf prior to commencing the process.



Section One: General Guidance around the ULN Process

Before commencing Stages 3 and 4 of the ULN process for the first and all subsequent times, it is important that you consider the following issues:

1. Initial check to determine if learners already have a ULN

Given the growing use of ULNs across the post-primary and FE sectors in Northern Ireland, it is increasingly likely that many of your learners will already have a ULN. It is advisable therefore that you **check with all learners during your organisation's registration process if they have a ULN. This is particularly important as it will save you significant administrative time later on in the ULN allocation process.**

There are a number of ways you can collect this information from learners on registration:

Learner's Statement of Results

The Candidate Statement of Results a learner receives from their school or college upon completion of their examinations includes the learner's ULN. This is located in the top right-hand corner of the statement, as indicated below:

Candidate Name:	JOHN DOE	Year:	14
Candidate Number:	0011	Reg Group:	14c
UCI:	7172473837364	ULN:	1234567890

Exam Results

Board	Level	Element Code	Title	Grade
CCEA	GCSE	67817	English Literature	B
CCEA	GCSE	78772	Additional Mathematics	A

When registering a learner you should ask to see the Candidate Statement of Results in order to confirm the learner's qualification achievements. From this, you will be able to collect a learner's ULN. The ULN will also be recorded on some (but not all) qualifications certificates.

2. ESIF Database/Your Organisation Enrolment Forms

Your organisation's registration form should include a ULN field in order to capture the applicant's ULN if they already have one. Included in this section of the registration form there should be a 'guidance note' for all applicants. Suggested wording may include:

The Unique Learner Number (ULN) is a unique identifier used within education and training for examination entries. You can find information about the ULN by searching for Unique Learner Number at www.ccea.org.uk

From September 2015 onwards all post-primary school learners aged 14 + will have a ULN. You can find the ULN on your 'Candidate Statement of Results' that you received on results day. If you cannot find your ULN, you should contact your school who should be able to confirm this for you.

If you have taken any qualifications at a FE College from 2010 onwards, you will have received a ULN. If you cannot locate your ULN, you can contact the FE College you were registered with, who should be able to confirm your ULN for you.

If you do not fit into either of these categories, [name of organisation] will generate a ULN for you and share this with you. If you have any questions around this process, you can ask your tutor during your registration process.

Please note that when registering learners with your organisation, it is very important that you register them using their legal forename and surname (as verified by legal identification documentation). This is particularly important because all qualification entries must be made using a candidate's legal forename and surname.

3. Consider the volume of ULN applications you are making

The means of generating ULNs will depend on the number of applications you are making.

LRS guidance states that, in general, if you are applying for ULNs for less than 50 learners, it is advisable to manually generate ULNs as opposed to generate a batch file for upload to the LRS Portal. For applications of over 50 learners at any given time, you should use the batch application process outlined in Stage 3 of this guidance.

Guidance around manually generating a ULN is provided below. More detailed information on the LRS Portal is found in Stages 2 and 3 of this guidance.

Four Stages of the ULN Application Process

Stage 1 – Registering as a UK Learning Provider

ULNs can only be generated for your learners when your organisation is registered on the national UK database of learning providers. The UK Register of Learning Providers (UKRLP) is a government-funded online portal that operates across the four jurisdictions of the United Kingdom. This is a relatively straightforward stage on the process.

Learning providers should register with the UKRLP online via their online registration tool available at www.ukrlp.co.uk in order to get a Provider Reference Number (UKPRN) to be used later in the process.

Please Note:

Before starting this process, it is important to check if your organisation already has registered with the UKRLP. Given the diverse structure and make-up of some voluntary and community sector bodies, another part of the organisation (for example the parent body, particularly if based in Great Britain) might have completed this process already. If they have, you do not need to register again.

If you are an independent body, or your parent body has not registered with the UKRLP, you should complete the process outlined below.

1. Click on the **Register** link.

UKRLP UK Register of Learning Providers

Learning Records Service

Uywodaeth Cymru Welsh Government

The Scottish Government Rìghdhas na h-Alba

Department for Business Innovation & Skills

Department for Employment and Learning

UKRLP Home 30 November 2017

Login/Register to UKRLP

If you are a learning provider and you're new to the UKRLP, register your details now

Register

If you are a sole trader or non-limited partnership and have been sent a new reversion code, please reverify your registration

Reverify

Welcome to the UK Register of Learning Providers

Introduction to the UKRLP

The UK Register of Learning Providers is a 'one-stop' portal to be used by government departments, agencies, learners, and employers to share key information about learning providers. The UKRLP allows providers to update their information in one place and share this across agencies such as the Skills Funding Agency, the Higher Education Statistics Agency (HESA), the Higher Education Funding Council for England (HEFCE) and UCAS.

Since provider registration opened on 1st August 2005, the UKRLP has grown to over 30,000 providers. Each of these has been verified against a recognised external source and has been allocated a UK Provider Reference Number (UKPRN). This is the unique identifier used to share information with the UKRLP partner agencies.

Accreditation

The following page will appear:

UKRLP UK Register of Learning Providers

Learning Records Service

Uywodiath Cymru Welsh Government

The Scottish Government Rìghdhas na h-Alba

Department for Business Innovation & Skills

Department for Employment and Learning

UKRLP Home 30 November 2017

UKRLP Registration

This 4 step process takes approximately 5 minutes. In order to ensure your registration is successful, you will need:

- your organisation's registration number
- a valid email address, use to contact you
- a registered legal address for the organisation

Please supply all relevant information in each registration step and click on the 'Continue to Next Step' button.

If you have any problems, please ring the UKRLP help desk on **0345 202 1600**.

All fields marked with a * are mandatory.

Step 1 - Select Type of Organisation

Is your organisation a non-limited partnership or a sole trader?

☐ Yes ☒ No ?

Please note clicking 'Yes' and clicking 'Continue to Next Step' button will take you to Step 3 directly, clicking 'No' and clicking 'Continue to Next Step' button will take you to Step 2, where you need to fill in your organisation legal details.

Continue to Next Step

- At Step 1, select 'Yes' or 'No' depending on your organisation's status and click **Continue to Next Step**.
- Complete Steps 2–4, and click **Submit**.

☐ Please tick the box to confirm that you have read and agree with the [Terms and Conditions](#). *

Reset Submit Cancel

Following successful submission of your registration form you will receive an eight digit number from the UK RLP. This number – **your organisation's UKPRN (UK Provider Reference Number)** is unique to your organisation and will be necessary to complete the process for applying for ULNs.

Remember to keep your UKPRN safe as you will need this throughout the ULN process.

Stage 2 – Registering with the Learning Records Service (LRS)

ULNs are generated by the LRS, a government body based in England, but working in Northern Ireland in conjunction with the DfE. In order to get ULNs for your learners, your organisation will have to formally register with the LRS.

You will complete two forms:

1. Learning Provider Organisation Registration Form; and
2. LRS Learning Provider Agreement

Please Note:

Before starting this process, it is important to check if your organisation already has registered with the LRS. Given the diverse structure and make-up of some voluntary and community sector bodies, another part of the organisation – for example the parent body, particularly if based in Great Britain – might have completed this process already. If they have, you do not need to register again.

If you are an independent body, or your parent body has not registered with the LRS, you should complete the process outlined below.

Learning Provider Organisation Registration Form

You should access the LRS Organisation Registration form online, and print out a copy. You can find it by searching for 'LRS registration documents' at www.gov.co.uk

Complete the form by hand, using the guidance included on the cover sheet of the registration form.

Please Note:

The form asks your organisation to nominate a 'ULN Super User'.

A Super User is the person in your organisation who will take primary responsibility for the management and administration of the ULN process. This may be you or a nominated administrative staff member.

Therefore, the details included on the form should be the Super User's information. From this point onwards, all communication from the LRS will come to the nominated Super User.

LRS Learning Provider Agreement

You should access the Learning Provider Agreement online, and print a copy. You can find it by searching for 'LRS registration documents' at www.gov.uk

You must complete pages 2 and 15 by hand using the guidance provided in the form. Although only two pages require your completion, you must print off the completed form.

Both forms – the Organisation Registration Form and the Learning Provider Agreement – must be returned directly to the LRS via email to lrs.support@education.gov.uk

Successful LRS Registration

The LRS will review the documentation provided, and following approval, your organisation's Super User will receive confirmation of a successful application:

- With this email approval, the Super User will receive their username details for the LRS Portal, which is the online tool through which all ULN administration is undertaken.
- Following this email, the Super User will receive a telephone call from the LRS with the password for accessing the LRS Portal. **This password is only temporary and should be updated immediately following initial login to the LRS Portal.**

When you login, you will be prompted to confirm your organisation's agreement with the terms and conditions of the LRS. By doing this, you are completing the registration process.

You can find the LRS Portal by searching for it at www.gov.uk

You are now in a position to make an application to the LRS to generate ULNs for your learners.

Please note that you will only have to complete Stages 1 and 2 the first time you are making a ULN application. For all subsequent applications, you will only need to follow Stages 3 and 4 outlined in the following pages.

Stage 3 – Gathering Data and Bulk Upload Application for ULNs

There are two steps in this process: the first is the gathering of all the data required for application, and the second is either manual or bulk uploading of this data to the LRS Portal. In order to apply for ULNs for 50 or more learners, you will prepare and upload a batch file through the LRS Portal. For less than 50 learners you will upload this manually.

Step 1: Gathering Learner Data

In order to generate a ULN, the LRS requires seven key pieces of information about each learner. You will already hold many of these pieces of information on each learner:

1. Forename
2. Surname
3. Postcode (including ROI postcodes)
4. Date of Birth
5. Gender

There are two other pieces of information specific to the ULN application that are also required:

6. Verification Type
This is the official document type you have used to verify the learner's identity, for example a passport, a driver's licence, or a national insurance card.
7. Ability to Share
This refers to the learner's information contained in the PLR. As noted above, the PLR is connected to the ULN, and records a learner's educational achievements electronically. This information is provided to and therefore held by the LRS, as the government body that manages the ULN and PLR.

Each learner has the **legal right** to decide how the educational achievement information contained in their PLR is to be used, for example whether or not it can be shared with future employers.

Each learner has a binary decision to make: either his or her information can be shared or it cannot be shared.

In order to determine how they want their information to be used, a Privacy Notice should be given and explained to learners. This Privacy Notice outlines the issues around the PLR, the data it contains, and the option to share that data. Each learner must return this Privacy Notice to your organisation's Super User, having signed that they are either willing or unwilling for their information to be shared by the LRS.

A copy of a Privacy Notice is included in Appendix I of this guidance document. Also

included is an explanation of the PLR and the Ability to Share option that can be used to explain these issues to your learners.

Please note that you should not make an application for a ULN if you have not received a signed Privacy Notice from a learner.

Manually generating a ULN for a learner

1. Search for the learner you are applying for through the LRS Portal using the learner's personal information (detailed below in the 'Using the Search Function in the LRS Portal').
2. If there is no ULN on record for the learner, the following page will be shown:

The screenshot shows the 'Find learner by personal details results' page in the LRS Portal. The page has a blue header with the HM Government logo and user information (Welcome: @S MLAP, SFA, Org ID: MEAP0009). The left sidebar contains navigation links for 'Learner Management' and 'Achievement Management'. The main content area shows search criteria: 'Given name: Emma', 'Family name: Durham', 'Previous family name: Durham', 'Date of birth: 26 Jan 1999', 'Gender: Female', and 'Postcode: BT42 2LR'. A 'Search again' button is visible. Below the search results, a message says 'Can't find the learner you're looking for?' with a 'Register this learner' button circled in red.

3. Click on **Register this Learner**.
4. Complete the Register Learner details page.

The screenshot shows the 'Register learner - details' page in the LRS Portal. The page has a blue header with the HM Government logo and user information (Welcome: @S MLAP, SFA, Org ID: MEAP0009). The left sidebar contains navigation links for 'Learner Management' and 'Achievement Management'. The main content area shows a form to enter learner details. The form includes fields for 'Given name', 'Preferred given name', 'Hobby other name', 'Family name', 'Previous family name', 'Family name at age 16', 'Gender', 'Date of birth', 'Place of birth', 'Nationality', 'Email', 'School at age 16', 'Scottish candidate number', 'Address line 1', 'Address line 2', 'Town', 'County', 'Postcode', and 'Date of address capture'. A 'Register learner' button is circled in red at the bottom right.

Step 2: The Batch Upload

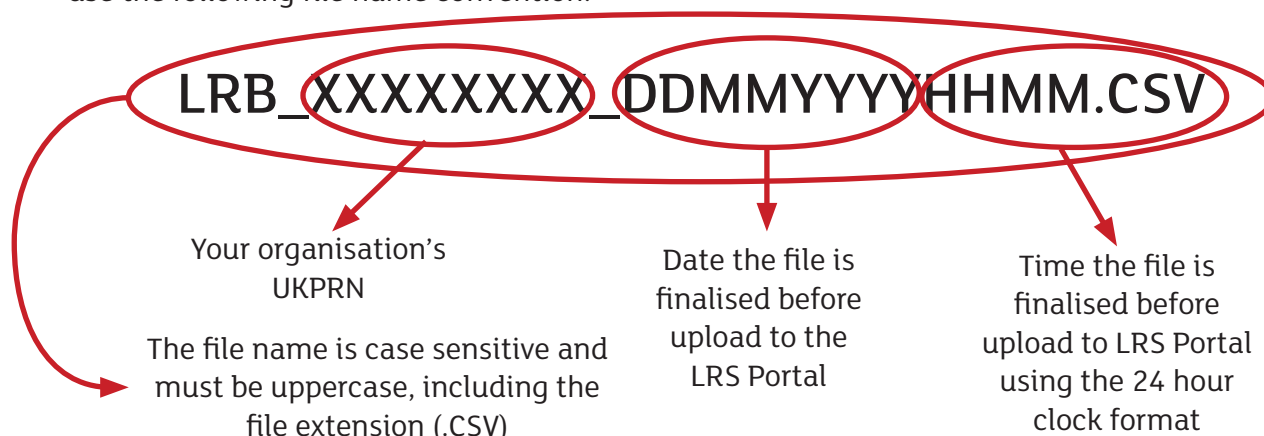
You can upload your learners' data to the LRS as a .CSV (comma separated file) formatted spreadsheet. The .CSV batch file upload allows you to upload and process multiple learner records through the LRS Portal.

A [template .CSV](#) file is available from the LRS website for you to download in order to input your organisation's data. You can find it by searching for 'LRS: batch load documents' at www.gov.uk

The spreadsheet must be completed in strict accordance with the guidelines provided by the LRS.

1. The .CSV File Name

Download the template .CSV file from the LRS website. The first time you save it, you should use the following file name convention:



2. Inputting data into the .CSV File

Each of the columns on the spreadsheet must follow the strict guidelines outlined below in order to be validated and the ULN application processed by the LRS.

Column	Column Title	Example Data	Description	Validation Rules
A	FileVersion	2A	Always 2A	Must always show 2A
B	FileName	LRS Learners Jan16	Your own file name reference for internal purposes only	Maximum of 512 characters
C	UKPRN	10001234	Your UKPRN	Must be eight characters
D	LearnerRecordCount	10	The total number of learner records included in the file	Must be the number of data rows, minus the column title row

H	GivenName	John	Forename	35 characters maximum
K	FamilyName	Doe	Surname	35 characters maximum
S	LastKnownPostCode	BT12 3AB	Post Code	For more detail please see Section 3, points 2 and 3 on the next page.
U	DateOfBirth	1999-11-11	Date of Birth	Must use the YYYY-MM-DD format
X	Gender	1	Gender	Must use one of the following codes: 0 = Not known 1 = Male 2 = Female 9 = Unable to be classified
AA	AbilityToShare	0	This must reflect the response of each learner as indicated on their returned Privacy Notice	Must use one of the following codes: 0 = Do not share data 1 = Ability to share data
AB	VerificationType	2	Official documentation used to verify learner's identity	Must use one of the following codes: 0 = None provided 1 = Relationship with school 2 = Passport 3 = Driving Licence 4 = National Identification Card 5 = National Insurance Card 6 = Certificate of Entitlement to Funding 7 = Bank/Credit/Debit Card 999 = Other

The guidelines above refer to the mandatory information that is required by the LRS. The spreadsheet template includes all the columns for optional information. These columns do not need to be filled – they can simply be left blank. However, you must not delete any unfilled column from your spreadsheet.

For more [details on the optional data fields](#), extensive guidance is offered by the LRS. You

can find these by going to www.gov.uk and searching for 'LRS: batch load documents'.

If your organisation utilises an internal information management system, it is possible to export information from this database into a spreadsheet. However, the spreadsheet must be organised using the same column sequence as indicated on previous page.

An example of a completed .CSV file is available in Appendix II.

3. Verifying and formatting the data in the .CSV File

In order to process your application for ULNs, the LRS has very specific requirements around how the data in your .CSV file should be presented and formatted.

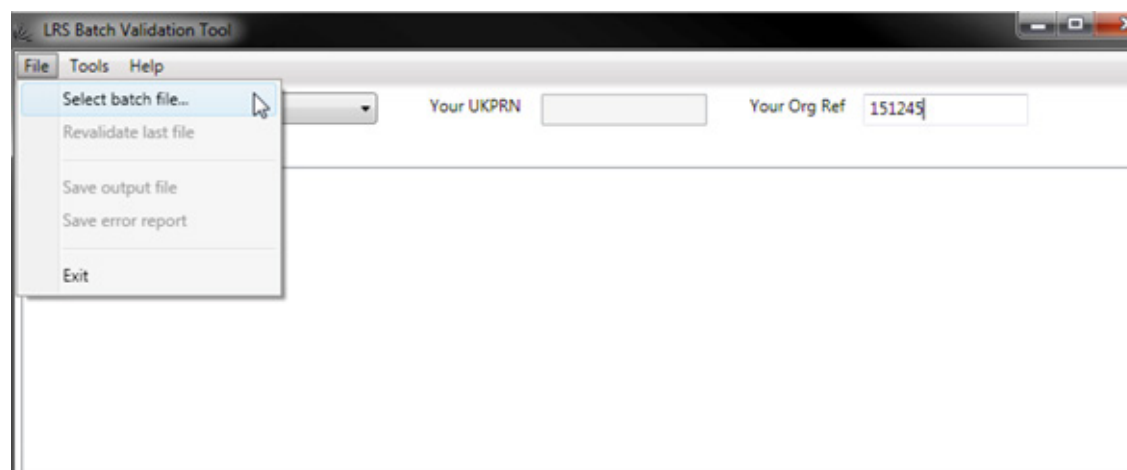
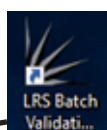
The LRS offers a Validation Tool that automatically formats your .CSV file to meet their requirements, and that checks that the data in your .CSV file meets the LRS's requirements.

You can download the [Validation Tool](#) by searching for 'LRS: Validation Tool' at www.gov.uk

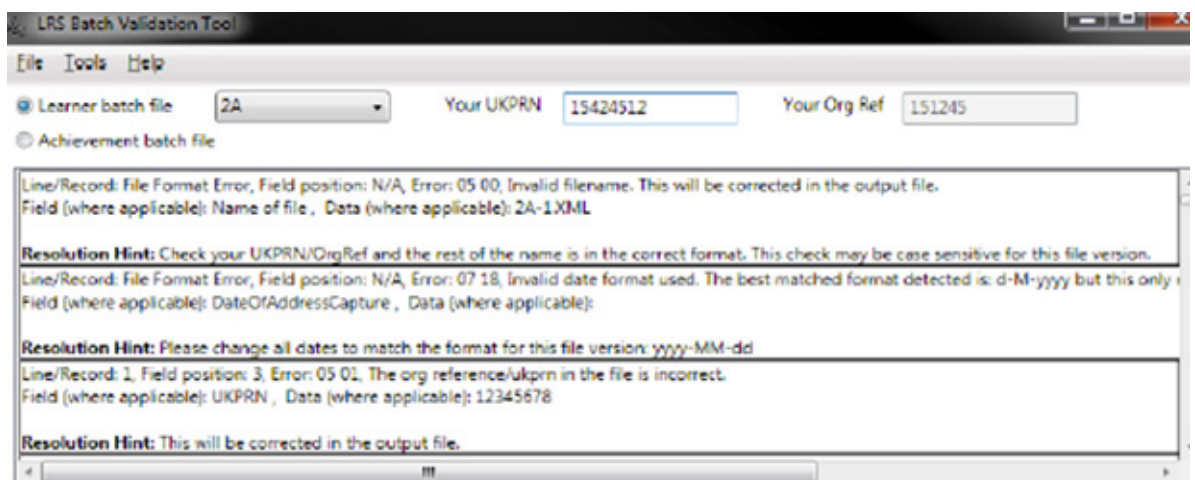
[Step-by-step guidance](#) around the downloading process is also available. You can find this by searching www.gov.uk for the 'LRS Batch Validation Tool'.

Using the Validation Tool

1. Launch by clicking the icon on your desktop.
2. The Disclaimer screen will be displayed every time the tool is launched. After reading it, click **Agree**.
3. Click on the button **Learner batch file**.
4. Select File Version – **this must be 2A**.
5. Enter your UKPRN.
6. Click **File > Select batch file**.
7. From the open file box, select your batch file.



8. As your batch file is a spreadsheet, select the CSV output file type selection box.
9. The tool will process the batch file, checking that the data meets the LRS's requirements and will format the data.
10. Following this process, one of two screens will be displayed:
 - a. **Validation was successful – no error found** – in this instance you should click File > **Save output file**. Your file will be saved with the name conforming to the conventions of the LRS. You are then ready to upload your batch file to the LRS Portal (Step 4 of this guidance below).
 - b. A list of validation errors.

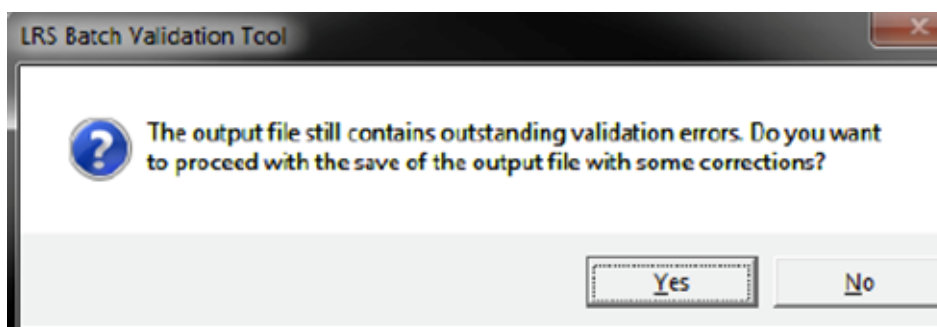


The error report indicates the type of error found, where that error is located in the spreadsheet, and offers a **Resolution Hint** for correcting the error. You should note that the Validation Tool will correct some errors – these do not require any action – while others will need manual correction.

For a detailed list of all validation error types and resolution hints, go to www.gov.uk and search for the **LRS Batch Validation Tool User Guide**.

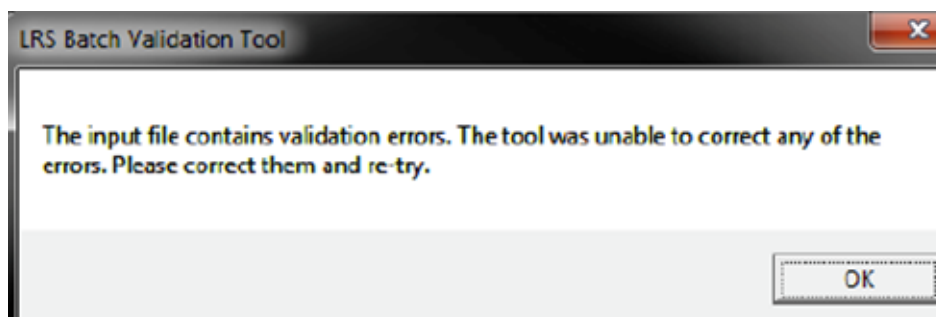
11. **Select File > Save error report.**
12. **Select File > Save output file.**

The following screen will be displayed:



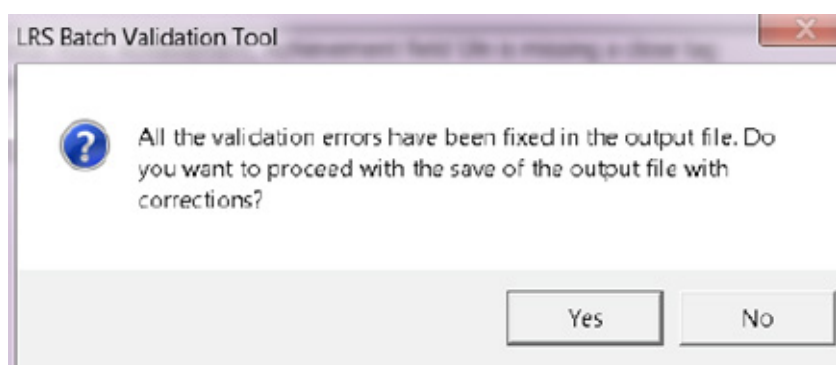
13. Click **Yes**.

The following screen will be displayed:



14. Click **OK**.
15. Print your error report and make any corrections to your saved output file.
16. Once all errors are corrected, you should return to the Validation Tool.
17. Click **File > Select batch file**.
18. Select your updated file.
19. Click **Revalidate last file**.

The Validation Tool will again check the file to ensure there are no errors. If any errors are found, an error report will be displayed (Point 10 b). If there are no errors found, the following screen will be displayed:



20. Click **Yes**.

You are ready then to upload your batch file to the LRS Portal.

4. Uploading your .CSV file to the LRS Portal

After you log onto the LRS Portal, the following screen will be displayed:

The screenshot displays the LRS Portal interface. At the top, the HM Government logo is on the left, and user information (Welcome: 09 MIAP, SFA, Org ID: MIAP0009) is on the right. Below the logo, there are two tabs: 'Learner Management' and 'Achievement Management'. The 'Learner Management' tab is active, and its sub-menu is visible on the left. In this sub-menu, 'Submit Batch Registration' is highlighted with a red circle. The main content area is divided into two sections: 'Find by ULN' and 'Find by personal details'. Both sections have input fields for ULN, Given name, Family name, Previous family name, Date of birth, Gender, and Postcode. A 'Search' button is located at the bottom right of each section. The 'Find by ULN' section also includes a 'Where can the learner find their ULN?' link and a 'Why do I need to provide so much information?' link.

Under the **Learner Management** tab, you should click **Submit Batch Registration**.

Follow the onscreen instructions, uploading your batch file to the portal and submitting it to the LRS for processing and generating ULNs for your learners.

Stage 4 – Processing ULN Returns

Following the upload of your batch .CSV file, the LRS will review the data submitted and process it in order to generate ULNs for your learners.

Upon completion of this process, you will receive a 'Return File' from the LRS. This is available through the LRS Portal by clicking on the **View Batch Registration** link under the Learner Management tab:

The screenshot shows the LRS Portal interface. At the top, there is a header with the HM Government logo, a welcome message for '09 MIAP SFA' with 'Org ID: MIAP0009', and links for 'Help', 'Contact us', 'My account', and 'Log out'. Below the header, there are two tabs: 'Learner Management' (selected) and 'Achievement Management'. On the left, a sidebar lists navigation options: 'You are here: Find a learner', 'Welcome', 'Learner Management', 'Find a learner', 'Register Learner', 'Submit Batch Registration', 'View Batch Registration', 'View Exceptions', 'Learner Verification', and 'User Management'. The main content area has two search sections: 'Find by ULN' and 'Find by personal details'. Both sections have a note: 'Mandatory fields are marked with an asterisk (*)'. The 'Find by ULN' section includes fields for 'ULN *', 'Given name *', 'Family name *', and a dropdown for 'Where can the learner find their ULN?'. The 'Find by personal details' section includes fields for 'Given name *', 'Family name *', 'Previous family name', 'Date of birth *' (with a date picker), 'Gender *' (with a dropdown), and 'Postcode *'. Both sections have a 'Search' button. At the bottom of the 'Find by personal details' section, there is a dropdown for 'Which fields should I search on?' and another 'Search' button.

You should download the Return File following the onscreen instructions.

The Return File will contain all of the information you included in your batch file, but will also include a **Return Code** at the end of each row:

```
"FileVersion","FileName","UKPRN","LearnerRecordCount","ULN","MISIdentifier","Title","GivenName",
PreferredGivenName","MiddleOtherName","FamilyName","PreviousFamilyName","FamilyNameAt16","SchoolAtAge
16","LastKnownAddressLine1","LastKnownAddressLine2","LastKnownAddressTown","LastKnownAddressCount
yStrCity","LastKnownAddressPostCode","DateOfAddressCapture","DateOfBirth","PlaceOfBirth","EmailAddress","Gender"
Nationality","ScorishCandidateNumber","AbilityToShare","VerificationType","OtherVerificationDesc
ription","Notes","ReturnCode"
B","LRS.17751830.090717751830.csv","17751830","2","2","-99","Hemel","","FamilyName1","","20
ne School","","PO24 3EZ","2001-12-10","2","0","n","RC003: ULN Confirmed"
No changes : 2007-08-15 11:17:07"
","2007-08-15 11:17:07","GivenName2","FamilyName2","PO11
1X","2007-08-15 11:17:07","6","9","RC011: Incorrect Format : 2007-08-15 11:17:07"
```

The text shows a CSV file snippet. Red boxes highlight the 'Return Code' column header and two data rows. The first data row shows 'RC003: ULN Confirmed' and the second data row shows 'RC011: Incorrect Format : 2007-08-15 11:17:07'.

This code indicates the status of the ULN application for each learner. There are two possible statuses:

1. ULN application was successful and a ULN has been generated.
2. ULN application was unsuccessful and a ULN has not been generated.

Please note that the format of the Return File is slightly different. It no longer looks like a spreadsheet, but it contains all the same information as your uploaded .CSV file.

Each of the column headings are noted at the top of the Return File, and are divided by a comma. Any repeated or confirmed information is noted with double speech marks – “”.

For successful applications, the Return Codes are:

Code	Explanation
RC001	<p>Linked Master ULN returned</p> <p>It is uncommon for this code to be returned. It simply means that the ULN you have recorded for your learner is correct.</p>
RC002	<p>ULN Confirmed and Updated</p> <p>The ULN you have recorded for your learner is correct. Some of the learner's personal information has been updated – for example, address or postcode – since the time the ULN was originally generated.</p> <p>If you are aware of a learner's information changing during their time of registration – if they move house, for example – it is possible to update the learner's information in the LRS Portal following the initial application for a ULN. You can include the learner in your batch file – including their ULN – and the LRS will update the learner's profile accordingly. In these instances the RC002 Return Code is used.</p>
RC003	<p>ULN Confirmed</p> <p>The ULN you have for your learner is correct.</p> <p>As in the case with RC002, in your batch file you can include learners that already have a ULN. If none of the learner's information has changed since the original ULN application was made, this code is returned.</p>
RC004	<p>No Possible Matches Found by LRS and New ULN Created</p> <p>The code is returned for all successful first-time applications. The LRS has determined that the applicant's data does not reasonably match someone already with a ULN, and has generated a ULN for your learner.</p> <p>The new ULN is recorded on the Return File (the fifth data field from the left-hand side of the row). You should make a note of this.</p>

Dealing with Exceptions

In most cases, learners will be allocated a ULN by the LRS, and returned using a RC004 code. In some cases, the LRS will not allocate a ULN without you checking the information used and verifying the application made. These instances are known as Exceptions.

On your Return File exceptions are indicated using the following Return Codes – those highlighted in grey are the most commonly returned exceptions:

Code	Reason for Exception
RC006	Insufficient Data to create a ULN
RC007	Possible Match found by the LRS (up to 10)
RC008	Too many possible matches (more than 10)
RC009	The ULN supplied for the learner was not recognised
RC010	Necessary data not included in application – e.g. Family Name
RC011	Incorrect data format included in application

Please note – you must deal with exceptions immediately. If you do not process exceptions within three months, the exception will expire and the application will be deleted by the LRS.

In order to view and process all exceptions, you must log onto the LRS Portal:

- Select the **Learner Management** tab.
- Click on **Learner Management**.
- Click on **View Exceptions**.

This will bring up the list of exceptions you have to process:

1. Processing RC007 Exceptions

This is the most frequent exception. This exception is returned when you have tried to create a new ULN for a learner but the LRS believes that one already exists. This can be because three of the five key identifiers used to ensure each application is unique match someone already with a ULN: for example, if a parent has the same forename, surname and address as their child, the majority of the identifiers will be identical for both.

It should be noted that if you have a high volume of school leavers (from 2016 onwards) in your application cohort, and you have not received a ULN from them on registration with your organisation, you are likely to have a high number of RC007 Possible Match returns, as all these learners will already have a ULN.

You should not dismiss all RC007 as a case of mistaken identity. In some instances, a learner in your school might have a ULN already from a different setting – for example, if they have taken a qualification in a FE College or have transferred school from England.

You must deal with each RC007 instance individually.

1. On the Exception List page, click on the Process link on the right-hand side of the exception you are processing.

Duplicate exception summary

<input checked="" type="checkbox"/>	Given name	Family name	Date of birth	Gender	Postcode	Organisation's file name	Return code	Expiry date	Action
	adrian	pritchard	10/10/1992	Male	G4 4AB		RC007		Process all

Duplicate exceptions

<input type="checkbox"/>	adrian	pritchard	10/10/1992	Male	G4 4AB	LRB_10099407_05032 0110905.XML	RC007	24032012	Process single
<input type="checkbox"/>	adrian	pritchard	10/10/1992	Male	G4 4AB	LRB_10099407_05032 0110905.XML	RC007	24032012	Process single

A list of possible matches will be shown. For each possible match there is the option to click on the '+' sign to expand the information available for the potential match.

Remember to review all the details of each possible match to determine if it is the learner in your organisation.

Provided details MIS Identifier: 6001

Input	Given name	Family name	ULN	Date of birth	Gender	Postcode	Master
Original:	Zachery	Taylor		01/01/1970	Male	AB10 1UD	

Check boxes

Your search results

<input type="checkbox"/>	Zachery	Taylor	5624701631	01/01/1970	Male	AB10 1UD	
Title: M School at age 16: Washington Prep School Address: Middle other name: John Place of birth: Coventry AB10 1UD Preferred given name: - Nationality: GBR Previous family name: - Email: George@washington.CO.UK Family name at age 16: -							
+ <input type="checkbox"/>	Zachery	Taylor	6723561014	01/07/1928	Male	AB10 1UD	
+ <input type="checkbox"/>	Zachery	Taylor	7207009789	01/01/1970	Male	CV1 1LL	

There are three possibilities following your review of the possible matches.

- a) If you think that one of the possible matches is the learner you are looking for and all the details are accurate, click on the box of that learner (as identified above) and **make a note of the ULN for the learner**.

Click on **Select this learner** located at the bottom of the page. This will process the exception and remove it from your Exception List.

OR

- b) If you think that one of the possible matches is the learner you are looking for but the information is not accurate (for example, they have moved house and have a new postcode), click on the box of that learner and **make a note of the ULN for the learner**.

Input	Given name	Family name	ULN	Date of birth	Gender	Postcode	Master
Original:	Zachery	Taylor		01/01/1970	Male	AB10 1UD	

Check boxes

Your search results

<input type="checkbox"/>	Zachery	Taylor	5624701631	01/01/1970	Male	AB10 1UD	
Title: M School at age 16: Washington Prep School Address: Middle other name: John Place of birth: Coventry AB10 1UD Preferred given name: - Nationality: GBR Previous family name: - Email: George@washington.CO.UK Family name at age 16: -							
+ <input type="checkbox"/>	Zachery	Taylor	6723561014	01/07/1928	Male	AB10 1UD	
+ <input type="checkbox"/>	Zachery	Taylor	7207009789	01/01/1970	Male	CV1 1LL	

Click **Select** and update learner. This will bring you through to the following page where you can update the learner's details:

Please enter learner's details

What information should I provide?

Title: _____ Email: _____

Given name: _____ Date: _____ School at age 16: _____

Preferred given Name: _____ Date: _____ Scottish candidate number: _____

Middle other name: _____ Address line 1: _____ Add Line 1

Family name: _____ Cat/hous: _____ Address line 2: _____

Previous family name: _____ Town: _____ Add Line 3

Family name at age 16: _____ County: _____

Gender * Postcode * Date of address capture: _____

Date of birth * Date of address capture: _____

Place of birth: _____

Nationality:

Other learner verification is required for full learner privileges

Verification type: Ability to share:

Why are verification type and ability to share important?

When you have completed updating the learner's details, click **Register Learner**. This will process the exception and remove it from your Exceptions List.

OR

If you determine that no match exists in the list provided, you should click on **Register New Learner**:

Provided details

Input	Given name	Family name	ULN	Date of birth	Gender	Postcode	Master
Original:	Zachery	Taylor		01/01/1970	Male	AB10 1UD	

Check boxes

Your search results

<input type="checkbox"/>	Zachery	Taylor	5624701631	01/01/1970	Male	AB10 1UD	
<p>Title: _____ School at age 16: Washington Prep School Address: _____</p> <p>Middle other name: John Place of birth: Coventry AB10 1UD</p> <p>Preferred given name: - Nationality: GBR</p> <p>Previous family name: - Email: George@washington.COM</p> <p>Family name at age 16: -</p>							
<input type="checkbox"/>	Zachery	Taylor	6723561014	01/07/1928	Male	AB10 1UD	
<input type="checkbox"/>	Zachery	Taylor	7207009789	01/01/1970	Male	CV1 1LL	

This will bring you to the following page. Complete the information required and click **Register Learner**.

HM Government
SFA
Org ID: MIAP0009

Register learner - details

Please enter learner's details

What information should I provide?
Mandatory fields are marked with an asterisk (*)

Title	<input type="text"/>	Email	<input type="text"/>
Given name *	Emma	School at age 16	<input type="text"/>
Preferred given name	<input type="text"/>	Scottish candidate number	<input type="text"/>
Middle other name	<input type="text"/>	Address line 1	<input type="text"/>
Family name *	Domain	Address line 2	<input type="text"/>
Previous family name	<input type="text"/>	Town	<input type="text"/>
Family name at age 16	<input type="text"/>	Country	<input type="text"/>
Gender *	Female	Postcode *	BT23 7LY
Date of birth *	26 Jan 1999	Date of address capture	<input type="text"/> <input type="text"/> <input type="text"/>
Place of birth	<input type="text"/>		
Nationality	<input type="text"/>		

Other learner verification is required for full learner privileges

Verification type *	Relationship with school	Ability to share *	PK seen and able to share data
Other verification type	<input type="text"/>		

Why are verification type and ability to share important?

[Cancel](#) [Register learner](#)

The following page will appear:

HM Government
SFA
Org ID: MIAP0009

Register learner Emma Domain

Learner registered successfully. The Learner's ULN is:
1234567890 [Copy ULN to clipboard](#)

[View learner profile](#) [Register another learner](#)

Remember to note the learner's ULN.

2. Processing all other Exceptions

Exception	Steps to Process Exception
RC008 ‘Too many possible matches’	<p>Send your encrypted and password-protected learner details to the LRS Service Desk (lrs.support@education.gov.uk). *</p> <p>The LRS will review the information provided and advise regarding the next steps.</p>
RC009 ‘The ULN supplied for learner was not recognised’	<ol style="list-style-type: none"> 1. Confirm the status of the ULN you have on record by searching the LRS Portal by ULN (see details below). 2. Confirm the status of the learner by searching the LRS Portal using the learner’s information. 3. If steps 1 or 2 do not resolve the issue, send your encrypted and password-protected learner details to the LRS Service Desk (lrs.support@education.gov.uk). * The LRS will review the information provided and advise regarding the next steps.
RC006 ‘Insufficient Data to create a ULN’	<ol style="list-style-type: none"> 1. Click on Process. 2. You will see two options (‘Cancel’ or ‘Register New Learner’). Click on Register New Learner. 3. You will be brought to the Register Learner details page where you can enter the learner’s details. 4. Click on Register Learner. 5. Take a note of the ULN generated.
RC010 ‘Necessary Data not included in the application’	
RC011 ‘Incorrect Data format included in application’	

* You can access guidance on encryption and password protection by searching for the [Data Encryption and Passphrase Guidance sheet](#) in the ‘LRS Help and Support’ section of www.gov.uk

Additional Guidance

1. Using the search function in the LRS Portal

Searching by a ULN

The screenshot shows the LRS Portal interface. At the top, there is a header with the HM Government logo and navigation links: Help, Contact us, My account, and Log out. Below the header, there are two tabs: Learner Management and Achievement Management. The main content area is divided into three sections. The first section, 'Find a learner by ULN', is highlighted with a red circle. It contains a 'More search options' link, which is also circled in red. The second section, 'Find a QCF qualification', contains fields for Keyword, Level, Size, and Sector Subject Area, along with a 'More search options' link. The third section, 'What's New', contains a link to the latest version of the LRS Organisation Portal. The 'Latest Information' section on the right contains a notice about the LRS service being unavailable after 18.00 on Thursday, 19th November 2015.

- Select the **Learner Management** tab.
- Click on the **Welcome** link.
- On the page (as above circled) you will see the option **Find a learner by ULN**. Click on this option.

Search using learner's Personal Information

- Select the **Learner Management** tab.
- Click on the **Welcome** link.
- Click on **More Search Options**.

This screenshot is identical to the one above, showing the LRS Portal interface. The 'Find a learner by ULN' section is highlighted with a red circle, and the 'More search options' link within this section is also circled in red. The rest of the page content remains the same.

- d) On the page that appears, complete the required personal information and click Search.
- e) If the learner has a ULN, this will be shown on the search results page.

2. Processing Prison-Based learner

As the use of the Prison-Based postcode has the potential to stigmatise the learner and create difficulties in their learning pathway, the provider postcode should be used while the LRS consider alternative arrangements.

3. Use of names using a different language

All ULN applications must be made using the learner's legal name as recorded on the official documentation presented during the registration process, regardless of preferences.

4. For a learner presenting with only one name

All ULN applications must be made using a learner's legal name as recorded on the official documentation presented during the registration process. If a learner has legally only one name (only a 'forename') the ULN application should register the one name in both the forename and surname fields.

5. For a learner transitioning gender

All ULN applications must be made using a learner's legal name and sex at the time of application; this may require the learner to produce a gender recognition certificate. The application can include Male, Female, or not specified at this time.

Useful Contacts and Links

For **all support** regarding the ULN process and issues regarding the LRS Portal you should contact the LRS helpdesk:

0345 602 2589

(Monday–Friday: 8am–6pm. Closed Saturday, Sunday and all English public holidays)

lrs.support@education.gov.uk

Learning Records Service Business Support Team
Education and Skills Funding Agency
Cheylesmore House
Quinton Road
Coventry
CV1 2WT

For **general advice** regarding the ULN, you should contact CCEA Regulation:

028 90 261200

ccearegulation@ccea.org.uk

Useful Links

- CCEA Regulation ULN Guidance Page
www.ccea.org.uk/regulation/guidance/unique_learner_number
- LRS Registration Documentation
www.gov.uk/government/publications/lrs-registration-documents
- LRS Portal
www.gov.uk/government/publications/lrs-organisation-portal
- LRS Guidance around Batch Upload
www.gov.uk/government/publications/lrs-batch-load-documents-for-schools-and-providers
- LRS Validation Tool
www.gov.uk/government/publications/lrs-validation-tool
- LRS Code of Practice for sharing personal information (PDF)
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/572480/DAT05_LRSCOP_for_Sharing_of_Personal_Information_v3.2_November_2016.pdf

Appendix I – Privacy Notice Information and Finalised Privacy Notice

The wording of the Privacy Notice has been approved for use by DE. Any alterations should be carefully considered.

It is necessary that all learners you are making a ULN application for have received this Privacy Notice and have returned it, indicating if they do not wish to share their information. If you have any learners under the age of 16, the Privacy Notice should be completed by the learner's parent or legal guardian. Also, consider the appropriateness of involving the parent/guardian for vulnerable adults.

Below is some guidance on how to explain the Privacy Notice to learners:

- The Unique Learner Number is a number that all learners taking qualifications in Northern Ireland need. It is known as a ULN.
- When you get your ULN, you also get a Personal Learning Record (PLR). The PLR is an electronic record of all your qualifications, awards, and learning achievements throughout your lifetime.
- The PLR will be useful when you are applying for jobs or making applications for further education. You will not need to present paper copies of your qualifications. Instead, you can give them access to your PLR and they can view your qualifications and achievements electronically. It will be beneficial to you and future employers or educational institutions.
- **You are always in control of your PLR – you get to decide if it is shared or if it is not. The decision you make is not final: it is easy to change your decision at any time.**
- The Privacy Notice allows you to make this decision. You can sign it if you are happy for your PLR to be shared: you do not have to sign it if you are not happy with your PLR being shared. You must read the Privacy Notice and tick the box indicating your choice, sign the Notice, and return it to your organisation.

You can find more information on the Privacy Notice from the LRS by going to www.gov.uk and searching for 'Factsheet for Learners PLR and ULN'.

PRIVACY NOTICE

The Skills Funding Agency (SFA) provides the Learner Registration Service (LRS) to allocate Unique Learner Numbers (ULNs) which enables the learner to access their Personal Learning Record (PLR). The Learner can access their PLR from age 16. The LRS will offer the learner the facility to access participation and achievement data via their PLR, a secure online record of achievement and to share this with other organisations and individuals where permission is granted.

The LRS will allow those organisations listed on section 537A of the Education Act (www.learningrecordsservice.org.uk) to use the ULN as a key to sharing participation and achievement data in a consistent and approved manner, promoting good information management practice.

All organisations that will have access to the information the learner provides are registered under the Data Protection Act 1998. At no time will this personal information be passed to an organisation for marketing or sales purposes.

A list of the organisations that may access the information the learner provides now or in the future **where there is a direct connection between the learner and their organisation is included overleaf.**

If you are content for your child's Personal Learning Record to be shared with the organisations listed in Section 537A of the Education Act, no further action is required.

Individuals can opt out of sharing participation and achievement data with those organisations listed in Section 537A of the Education Act by completing this tick box. Opting out will result in information on your child's achievement not being as readily available to support their learning progression.

If you are not content for your child's Personal Learning Record to be shared with the organisations listed in Section 537A of the Education Act you should indicate by ticking the "opt-out" box.

☐

Name of Learner: _____

Signed: _____

(Parent/Guardian – if under 16)

(Learner – if over 16)

Date: _____

List of Organisations that access the PLR with appropriate permissions

1. Learning Providers

- Schools
- Further Education Institutions / Colleges
- Local Authorities
- Training providers (inc private, third sector/voluntary & employers)
- Higher Education Institutions
- Prisons /Offender Learning Institutions
- Armed Forces (Army, Navy, Air Force) in the UK inc. Isle of Man, Jersey and Guernsey

2. Awarding Organisations

3. FISSS - The Federation for Industry Sector Skills and Standards

4. Careers Organisations

- National Careers Service/Next Step
- The Northern Ireland Careers Service
- Careers Wales
- Careers Scotland
- Local Authorities/Connexions
- School contracted Services

5. UCAS – University and Colleges Admissions Service

6. Student Loans Company

7. Government Departments, Devolved Administrations & NDPBs/Agencies

- Department of Education Northern Ireland
- Department for Employment and Learning Northern Ireland
- DfE England, YPLA/Education Funding Agency
- BIS, Skills Funding Agency/Apprenticeship Service, HEfCE-HESA
- DfES Wales
- Scottish Government
- Education and Training Inspectorate NI/OfSTED
- DWP and Job Centre Plus

Appendix II – Example of a Completed .CSV File

Please note that this spreadsheet has been split across two screen shots for illustrative purposes only. All .CSV files should follow the LRB batch file template available at www.gov.uk

FileVersion	File Name	UKPRN	LeamerReconULN	MISIdentifierTitle	GivenName	PreferredGiv	MiddleOther	FamilyName	PreviousFam	FamilyName	SchoolAtAge	LastKnown
£2A	LRS Learners	10001234	10	1008272336	SNT001	Miss	Abbie-Isia	Abbie	Cassidy	CAMPBELL	1	JOBS L
£				1026893096	SNT002		Darcie		Tucker			
£				1041533380	SNT003		Harry		Cox			
£				1050000160	SNT004		Michael	Mike	Carsons			
£				1093934521	SNT005		Owen		Watson			
£				SNT006	Mr		Eric		Ant			The LRS School
£				SNT007			Cameron		Hall	CHOUHURY		20 Hillisk
£				SNT008			Rachael		Thackeray	UDDIN		20 Garri
£				SNT009	Mr		Edward	Ed	Coates			
£				SNT010			Abigail-Molly		Dabbs-Edwards			25 Stanli

Please Note that you do not have to add the '£' symbol manually. This is a formatting requirement of the LRS that will be added when the .CSV file is validated through the Validation Tool

LastKnownAc	LastKnownAc	LastKnownAc	DateOfAddre	DateOfBirth	PlaceOfBirth	EmailAddress	Gender	Nationality	ScottishCand	AbilityToShai	VerificationT	OtherVerifica	Notes
£				12/09/93		abbie-isia.ca		2					£
£				16/08/76		darcie.tucker		2					£
£				12/05/92				1		1			£
£				04/07/90		ab@ab.co.uk		1		1	2		£
£				27/10/76		cameron.hall		1		2	4		£
£				25/06/90		rachael.thack		2		1	4		£
£				11/10/97				1		1	2		£
£				08/10/82		abigail-molly		2		1	3		£

Please note that this spreadsheet has been split across two screen shots for illustrative purposes only. All .CSV files should follow the [LRB batch file template](http://www.gov.uk) available at www.gov.uk

For further information or copies of this report, please contact:

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Belfast BT1 3BG
or alternatively email
research@ccea.org.uk

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