



Education & Skills
Funding Agency

Earnings adjustment statement guidance 2016 to 2017

Version 2

This document sets out how to use the 2016 to 2017 earnings adjustment statement (EAS) for all apprenticeship frameworks and standards, the adult education budget, traineeships (not funded through a 16 to 19 contract), and the Advanced Learner Loans bursary.

May 2017

Of interest to colleges, training organisations and employers.

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Introduction and purpose of the document

1. This document describes the features of the earning adjustment statement (EAS) for the 2016 to 2017 funding year. The EAS is an online form you use to claim funding that is not reported in the individualised learner record (ILR).
2. For a complete understanding of how the funding system works in practice, please read this document along with our:
 - [SFA funding rules 2016 to 2017](#)
 - [SFA funding rates and formula 2016 to 2017](#)
 - [Apprenticeship funding and performance management rules 2017 to 2018](#)
(for apprenticeships starting from 1 May 2017)
 - [Apprenticeships technical funding guide](#) (for apprenticeships starting from 1 May 2017)
 - [ILR specification, validation rules and appendices 2016 to 2017](#)

Understanding the terminology

3. The terms 'we' and 'ESFA' refer to the 'Education and Skills Funding Agency' and associated staff.
4. When we refer to 'you' or 'providers', this includes colleges, training organisations, local authorities and employers that receive funding from us, or Advanced Learner Loans (loans) payments from the Student Loans Company (SLC) on behalf of learners, to deliver education and training.
5. When we refer to 'levy contracted' this is where the apprentice is funded using funds in an employer's digital account through a contract for services between the provider and the employer.
6. When we refer to 'non-levy contracted' this is where the apprentice is funded by the ESFA through a contract for services between the provider and the ESFA.
7. The terms 'levy contracted' and 'non-levy contracted' reflect the Learning Delivery Funding and Monitoring code for the 'Apprenticeship Contract Type' (ACT) used in the ILR. 'Levy contracted' corresponds to 'ACT1' and 'non-levy contracted' corresponds to 'ACT2'.

How this document can help you

8. This document is divided into sections which explain what funding you can claim and how you should record it. We have included a section which explains how data from the EAS feeds into the funding summary report; one of our headline funding reports.

Changes from version 1 to version 2 of the 2016 to 2017 guidance

9. The guidance has been updated to include the new funding model for all apprenticeships starting from 1 May 2017. The terminology has been updated in some places where the document referred to the former Education Funding Agency (EFA) or Skills Funding Agency (SFA).
10. The guidance also shows changes to the EAS screens, and to how reports are generated following an EAS submission.

Changes in version 1 of the 2016 to 2017 guidance compared to the 2015 to 2016 guidance

11. There were no significant changes to the data requirements for version 1 of the main EAS form from the forms in the 2015 to 2016 year. The 'Classroom learning' and 'Workplace learning' funding lines have been merged into the 'Other learning' funding line within the adult education budget (AEB).

Accessing the EAS forms

12. You can access the EAS forms online through the [Hub](#).

The programmes you can claim funding for

13. You can claim funding for the following programmes using the EAS form. The programmes and their detailed categories that you can claim funding for are:

- Apprenticeships for starts before 1 May 2017:
 - 16 to 18 apprenticeship frameworks
 - 16 to 18 trailblazer apprenticeships
 - 19 to 23 apprenticeship frameworks
 - 19 to 23 trailblazer apprenticeships
 - 24+ apprenticeship frameworks
 - 24+ trailblazer apprenticeships

- Apprenticeships for starts on or after 1 May 2017:
 - 16 to 18 levy contracted apprenticeships
 - 16 to 18 non-levy contracted apprenticeships
 - adult levy contracted apprenticeships
 - adult non-levy contracted apprenticeships

- 16 to 18 traineeships (not funded through a 16 to 19 contract):
 - 16 to 18 traineeships
 - 16 to 19 traineeships bursary

- Adult education – traineeships and ‘other learning’:
 - 19 to 24 traineeships
 - AEB – other learning

- Advanced Learner Loans:
 - Advanced Learner Loans bursary

The categories you can claim funding for within each programme

14. Excess learning support can be claimed for all categories except for:

- 16 to 18 levy contracted apprenticeships – training (excluding English & maths)
- 16 to 18 levy contracted apprenticeships – additional payments for employers
- 16 to 18 non-levy contracted apprenticeships – training (excluding English & maths)
- 16 to 18 non-levy contracted apprenticeships – additional payments for employers
- adult levy contracted apprenticeships – training (excluding English & maths)
- adult levy contracted apprenticeships – additional payments for employers
- adult non-levy contracted apprenticeships – training (excluding English & maths)
- adult non-levy contracted apprenticeships – additional payments for employers
- 16 to 19 traineeships bursary

15. Exceptional learning support can be claimed for all categories except for:

- 16 to 18 levy contracted apprenticeships – training (excluding English & maths)
- 16 to 18 levy contracted apprenticeships – additional payments for employers
- 16 to 18 non-levy contracted apprenticeships – training (excluding English & maths)
- 16 to 18 non-levy contracted apprenticeships – additional payments for employers
- adult levy contracted apprenticeships – training (excluding English & maths)
- adult levy contracted apprenticeships – additional payments for employers
- adult non-levy contracted apprenticeships – training (excluding English & maths)
- adult non-levy contracted apprenticeships – additional payments for employers
- 16 to 18 traineeships
- 16 to 19 traineeships bursary

16. Audit adjustments can be claimed for all categories except for the 16 to 19 traineeships bursary. For the Advanced Learner Loans bursary this line is named 'Area costs audit adjustments' because it refers to area costs only.

17. Authorised claims can be claimed for all categories except for the Advanced Learner Loans bursary and the 16 to 19 traineeships bursary.

18. Learner support is **only** available for the following categories:

- 16 to 18 apprenticeship frameworks
- 19 to 23 apprenticeship frameworks
- 24+ apprenticeship frameworks
- 19 to 24 traineeships

NB: For learner support within the Advanced Learner Loans bursary refer to the 'Advanced Learner Loans bursary' section of this document.

19. The following categories are only available for the 16 to 19 traineeships bursary.

- vulnerable student bursary
- discretionary bursary
- free meals

20. You can find further information on learning support, learner support and evidence requirements in the [SFA funding rules 2016 to 2017](#) and the [Apprenticeship funding and performance management rules 2017 to 2018](#) for apprenticeships starting from 1 May 2017.

How and when to complete the claim forms

21. You must have supporting evidence for each funding line type and category.

22. The EAS is not the cumulative value for the funding year; it is the funding claimed for each month.

23. The EAS is available for each month of the funding year. The amount of funding claimed in the EAS each month will be added up to calculate the total for the funding year.

24. You can enter the funding claimed for each category; this is in addition to any funding being earned from the individualised learner record (ILR) and should represent the value being claimed for each of the categories for that month.

25. If you are claiming for any of the programmes set out below you should submit an EAS each month unless you are not claiming any funding for that particular month:
- apprenticeship starts from 1 May 2017
 - 16 to 18 traineeships
 - 16 to 18 apprenticeships that started before 1 May 2017
26. If you are a contract-funded provider or only hold a loans facility conditions and bursary funding agreement with us ('paid on actuals' for the AEB, adult apprenticeships starting before 1 May 2017 or the Advanced Learner Loans bursary) you should also submit an EAS each month, unless you are not claiming any funding, for the following programmes:
- adult apprenticeships that started before 1 May 2017
 - adult education budget (AEB)
 - Advanced Learner Loans bursary
27. If you are a grant-funded provider ('paid on profile' for the AEB, adult apprenticeships starting before 1 May 2017 or the Advanced Learner Loans bursary) we expect that most providers will submit an EAS at least every quarter. For EAS claims to be included as part of your funding claims, you need to ensure your claims are up to date by R06, R13 and the final R14 collection in October 2017.
28. All claims need to be submitted by the final R14 collection to be paid or to be reconciled with your profile payments, whichever is appropriate.
29. For technical queries about submitting the EAS, please contact the [service desk](#).

Details of what you can claim in the EAS

Excess learning support

30. Excess learning support is the additional amount claimed over and above the fixed monthly rate of £150 generated through ILR data.

For example, the monthly rate of £150 is enough to cover costs for each month in the year, except for September when there is an extra one-off payment for £100. To claim this excess in the EAS, you claim £100 for September in the 'excess learning support' column against the relevant funding line.

31. If a learner is on a 16 to 18 traineeship not funded through a 16 to 19 contract, or planned learning is less than one month, you can claim all learning support through the 'excess learning support' line.

For example, a learner starts on 2 August 2016, finishes on the 30 August 2016 and requires learning support. Because the learning is less than one calendar month, the whole £150 should be claimed in the excess learning support column against the relevant funding line.

32. We expect providers to only claim for the funding they need.

For example, a learner needs support for two months only; £100 in the first month and £200 in the second month equalling £300 in total. We expect you to only claim for two monthly payments of £150 to cover the total cost, we do not expect you to claim £50 excess in the second month.

Exceptional learning support

33. If learning support for a single learner is greater than £19,000 in a funding year, the excess over £19,000 must be claimed as exceptional learning support through the EAS. You can only claim this funding when you have submitted a learning support costs [form](#) which has been agreed by us.

34. For example, a learner requires £21,000 of funding in a funding year. The £2,000 should be claimed against the month it was spent in the 'exceptional learning support' column against the relevant funding line type.

Audit adjustments

35. If, as part of an audit, you have to repay funding to us, we will ask you to use this section. This will only be used where you are not correcting ILR data as a part of the findings from an audit. You must not use this field for any audit adjustments from a different funding year. We will advise you when to use this section.

36. You must enter any repayments as a negative figure (-xxxx.xx).

Authorised claims

37. You must not enter any funding claims into this section unless authorised to do so.

Learner support

38. You should not use this field for learner support for 16 to 19 traineeship bursary or the Advanced Learner Loans bursary.
39. Apprenticeship learner support funding can only be claimed for apprenticeship frameworks that started before 1 May 2017 and 19 to 24 traineeships if you do not have a discretionary learner support (DLS) budget.
40. If you do not have an allocation of DLS, you can claim learner support for 19- to 24-year-old learners on traineeships from the adult education budget through the EAS as described in the funding rules. For more information on DLS, please see the [SFA funding rules 2016 to 2017](#).

16 to 19 traineeship bursary and free meals fund claims

41. The 16 to 19 traineeship bursary and free meals fund can only be claimed for 16 to 19 traineeship learners not funded through a 16 to 19 contract. Please read our [SFA funding rules 2016 to 2017](#) in conjunction with the [16 to 19 bursary fund guide for 2016 to 2017](#) when claiming for the [16 to 19 education: financial support for students](#). You should also refer to the EFA's free meals advice [further education free meals: advice for FE funded institutions](#).
42. The 16 to 19 bursary fund has three parts – an element for learners in defined vulnerable groups ('vulnerable student bursaries'), a discretionary element awarded by providers to young people that best fit the needs and circumstances of their learners ('discretionary bursaries') and free meals. These are all claimed separately.
43. The amount claimed each month should reflect the amount of funding spent in that month rather than being a cumulative total. The amount claimed should only relate to funding spent during the period 1 August 2016 to 31 July 2017.
44. For the vulnerable student bursary element of the 16 to 19 bursary fund, you must first apply for the funding from the learner support service by filling in a funding claim form, which you can download from [GOV.UK](#).
45. Once the application has been approved by the learner support service, you can claim the funding using the EAS.

Advanced Learner Loans bursary

46. Contract-funded providers, and providers who only hold a loans facility conditions and bursary funding agreement with us, can claim additional learner and learning support funding for learners with Advanced Learner Loans where the fixed monthly rate does not cover the full cost of the support provided. The monthly rate will depend upon the details entered in the ILR for code ALB1, ALB2 or ALB3. You must use the excess support box on the EAS. You must only claim the additional funding needed each month, and you must continue to claim the standard funding rate(s) using the ILR.
47. For contract-funded providers, the 'excess support' column may include a mixture of learner and learning support. You can find full details in the [SFA Funding Rules 2016 to 2017](#).
48. Grant-funded providers should only claim excess learning support through the EAS.
49. If learning support for a single learner with an Advanced Learner Loan is greater than £19,000 in a funding year, the excess over this amount must be claimed as exceptional learning support through the EAS. You can only claim this funding when you have submitted an [SFA: exceptional learning support - cost form](#) that we have agreed.
50. Where you claim the Advanced Learner Loans bursary you must retain audit evidence for the overall cost of support provided, including the funding earned using the ILR.
51. For further information on what you can claim, please read the [SFA funding rules 2016 to 2017](#).

Report Generation

52. Upon submission of an EAS collection the following reports will be produced:
 - EAS submission report
 - SFA funding summary report
 - SFA funding claim report
53. The EAS submission report will be displayed on the collection details screen.

54. The funding summary and funding claim reports will be zipped on the business reports section of the Hub. These reports are now updated following EAS submission as well as ILR submission; you no longer need to submit ILR data after EAS data to trigger updates to these reports.
55. Funding from the August form is added to funding earned from the ILR for August, funding claimed from the September form is added to funding earned from the ILR for September, and so on.
56. The funding summary report shows the data from the EAS under the appropriate budget line. The titles of the funding lines start with the letters 'EAS' to clearly identify them from the ILR funding.
57. The example below, from the EAS funding summary report, shows the EAS funding lines for levy contracted apprenticeships (16 to 18 and adult).

Levy Contracted Apprenticeships Budget for starts on or after 1 May 2017								
	Apr 2017	May 2017	Jun 2017	Jul 2017	Aug - Mar	Apr - Jul	Year To Date	Total
16-18 Levy contracted Apprenticeships								
ILR 16-18 Levy contracted Apprenticeships Programme Aim Programme Funding (£)	0.00	115,855.45	93,703.87	80,456.61	0.00	290,015.93	0.00	290,015.93
ILR 16-18 Levy contracted Apprenticeships Maths and English Programme Funding	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR 16-18 Levy contracted Apprenticeships Framework Uplift (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR 16-18 Levy contracted Apprenticeships Disadvantage Payments (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR 16-18 Levy contracted Apprenticeships Additional Payments for Providers (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR 16-18 Levy contracted Apprenticeships Additional Payments for Employers (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR 16-18 Levy contracted Apprenticeships Learning Support (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR Total 16-18 Levy contracted Apprenticeships (£)	0.00	121,855.45	99,703.87	86,456.61	0.00	308,015.93	0.00	308,015.93
EAS 16-18 Levy contracted Apprenticeships Training Audit Adjustments (£)	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS 16-18 Levy contracted Apprenticeships Training Authorised Claims (£)	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS 16-18 Levy contracted Apprenticeships Additional Payments for Providers	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS 16-18 Levy contracted Apprenticeships Additional Payments for Providers	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS 16-18 Levy contracted Apprenticeships Additional Payments for Providers	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS 16-18 Levy contracted Apprenticeships Additional Payments for Employers	0.00	1,222.00	1,843.00	123.00	0.00	3,188.00	0.00	3,188.00
EAS 16-18 Levy contracted Apprenticeships Additional Payments for Employers	0.00	1,222.00	1,843.00	123.00	0.00	3,188.00	0.00	3,188.00
EAS Total 16-18 Levy contracted Apprenticeships Earnings Adjustment (£)	0.00	16,319.00	17,561.00	13,371.00	0.00	47,251.00	0.00	47,251.00
Total 16-18 Levy contracted Apprenticeships (£)	0.00	138,174.45	117,264.87	99,827.61	0.00	355,266.93	0.00	355,266.93
Adult Levy contracted Apprenticeships								
ILR Adult Levy contracted Apprenticeships Programme Aim Programme Funding (£)	0.00	115,855.45	93,703.87	80,456.61	0.00	290,015.93	0.00	290,015.93
ILR Adult Levy contracted Apprenticeships Maths & English Programme Funding (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR Adult Levy contracted Apprenticeships Framework Uplift (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR Adult Levy contracted Apprenticeships Disadvantage Payments (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR Adult Levy contracted Apprenticeships Additional Payments for Providers (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR Adult Levy contracted Apprenticeships Additional Payments for Employers (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR Adult Levy contracted Apprenticeships Learning Support (£)	0.00	1,000.00	1,000.00	1,000.00	0.00	3,000.00	0.00	3,000.00
ILR Total Adult Levy contracted Apprenticeships (£)	0.00	121,855.45	99,703.87	86,456.61	0.00	308,015.93	0.00	308,015.93
EAS Adult Levy contracted Apprenticeships Training Audit Adjustments (£)	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS Adult Levy contracted Apprenticeships Training Authorised Claims (£)	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS Adult Levy contracted Apprenticeships Additional Payments for Providers Audit	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS Adult Levy contracted Apprenticeships Additional Payments for Providers	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS Adult Levy contracted Apprenticeships Additional Payments for Providers	0.00	2,775.00	2,775.00	2,625.00	0.00	8,175.00	0.00	8,175.00
EAS Adult Levy contracted Apprenticeships Additional Payments for Employers	0.00	1,222.00	1,843.00	123.00	0.00	3,188.00	0.00	3,188.00
EAS Adult Levy contracted Apprenticeships Additional Payments for Employers	0.00	1,222.00	1,843.00	123.00	0.00	3,188.00	0.00	3,188.00
EAS Total Adult Levy contracted Apprenticeships Earnings Adjustment (£)	0.00	16,319.00	17,561.00	13,371.00	0.00	47,251.00	0.00	47,251.00
Total Adult Levy contracted Apprenticeships (£)	0.00	138,174.45	117,264.87	99,827.61	0.00	355,266.93	0.00	355,266.93
Total Levy Contracted Apprenticeships Budget for starts on or after 1 May 2017 (£)	0.00	276348.89	234529.75	199655.22	0.00	710533.86	0.00	710533.86

Annex 1: Earnings adjustment statement

The following screen shots show what the EAS input form will look like on the Hub.

Earnings Adjustment Statement 2016 to 2017										
August	September	October	November	December	January	February	March	April	May	Show All Months
May									Fri, 05 May 2017	
Apprenticeships for starts before 1 May 2017										
	Excess Learning Support	Exceptional Learning Support	Audit Adjustments	Authorised Claims	Learner Support					
16-18 Apprenticeship Frameworks	121	232	343	454	565					
16-18 Trailblazer Apprenticeships	6	7	8	9						
19-23 Apprenticeship Frameworks	10	11	12	13	14					
19-23 Trailblazer Apprenticeships	15	16	17	18						
24+ Apprenticeship Frameworks	19	20	21	22	23					
24+ Trailblazer Apprenticeships	24	25	26	27						

Apprenticeships for starts on or after 1 May 2017				
16-18 Levy contracted Apprenticeships	Excess Learning Support	Exceptional Learning Support	Audit Adjustments	Authorised Claims
Training (excluding English & Maths)			28	29
Additional payments for providers	30	31	32	33
Additional payments for employers			34	35

16-18 Non-levy contracted Apprenticeships	Excess Learning Support	Exceptional Learning Support	Audit Adjustments	Authorised Claims
Training (excluding English & Maths)			36	37
Additional payments for providers	38	39	40	41
Additional payments for employers			42	43

Adult Levy contracted Apprenticeships	Excess Learning Support	Exceptional Learning Support	Audit Adjustments	Authorised Claims
Training (excluding English & Maths)			44	45
Additional payments for providers	46	47	48	49
Additional payments for employers			50	51

Adult Non-levy contracted Apprenticeships	Excess Learning Support	Exceptional Learning Support	Audit Adjustments	Authorised Claims
Training (excluding English & Maths)			52	53
Additional payments for providers	54	55	56	57
Additional payments for employers			58	59

16-18 Skills Funding Agency-funded Traineeships				
	Excess Learning Support	Exceptional Learning Support	Audit Adjustments	Authorised Claims
16-18 Traineeships	60		61	62

	Vulnerable Bursary	Discretionary Bursary	Free Meals
16-19 Traineeships Bursary	63	64	65

Adult Education -Traineeships and Other Learning					
	Excess Learning Support	Exceptional Learning Support	Audit Adjustments	Authorised Claims	Learner Support
19-24 Traineeships	66	67	68	69	70
AEB - Other Learning	71	72	73	74	

Advanced Learner Loans			
	Excess Learning Support	Exceptional Learning Support	Area Costs Audit Adjustments
Advanced Learner Loans Bursary	75	76	77

 Print All Months

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Confirm and Submit

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