

**This document has been withdrawn as it is out of date.**



Skills Funding  
Agency

# Funding Rules 2013/2014

## Version 3

This document sets out the rules for funding and associated evidence needed for the funding year 2013/2014 which will apply from 1 August 2013.

This puts the rules for funding in one place and combines the evidence needed to support them.

November 2013

Of interest to colleges, training organisations and employers



**European Union**  
**European Social Fund**  
Investing in jobs and skills

## Table of contents

Introduction	
<b>Section 1 – General funding rules for 2013/14</b>	<b>6</b>
<b>Principles of funding</b>	<b>6</b>
European Social Fund (ESF) match funding	9
Evidence required	9
<b>Principles of evidence</b>	<b>10</b>
The main principles of providing evidence	10
Learning Agreement	11
Confirmation and signatures	11
Learning activity	11
Retention and achievement	11
Individualised Learner Record (ILR)	12
Self-certification by learners	12
Evidence required	13
<b>Financial contributions</b>	<b>14</b>
Evidence required	15
<b>Section 2 – The Adult Skills Budget including Apprenticeships</b>	<b>16</b>
Qualifications available within the Adult Skills Budget	16
Using the innovation code	17
English and maths	19
Prince’s Trust Team Programme	20
English for Speakers of Other Languages (ESOL)	21
Job outcome payments	21
State Aid	22
Using the Adult Skills Budget for offenders – public prisons	22
Using the Adult Skills Budget for offenders – private prisons	23
Breaks in learning	24
Evidence required	24
<b>Apprenticeships</b>	<b>25</b>
Principles	25
Access to Apprenticeships	26
Apprenticeship Agreement	28
Employment	29
Apprenticeship training agency (ATA)	29
Alternative completion conditions	30
Employment hours	31
Recognition of Prior Learning, exemption on the basis of previously certificated achievement, and duplication	32
Apprenticeship duration	33
Minimum length of 16-18 Apprenticeships	33
Minimum length of 19+ Apprenticeships	34
Minimum length, transfers between providers and breaks in learning	35

Completion and achievement of an Apprenticeship framework	35
English and maths	36
Breaks in learning	37
Second Apprenticeships at the same or a lower-level	37
Small and medium-sized enterprises (SMEs)	37
Funding for apprentices who have learning difficulties or disabilities	38
Enhanced funding for apprentices aged 19 to 23	38
Evidence required	39
<b>Traineeships</b>	40
Provider eligibility and contracting	40
Learner eligibility	42
Traineeship core elements	43
Work placement	44
Work placement funding and achievement	45
Work preparation	46
English and maths	46
Flexible element	47
Traineeship duration	47
Individualised Learner Record (ILR)	48
Performance Management	49
Learning Support	49
Disadvantage funding	49
High needs student (HNS) funding	50
Learner Support	50
16-19 Bursary fund	50
Vulnerable student bursaries	51
Discretionary bursaries	51
Care to Learn	51
Discretionary Learner Support	52
Evidence required	52
<b>Learners with learning difficulties or disabilities (LLDD learners)</b>	53
<b>Learning Support (LS)</b>	54
Exceptional Learning Support (eLS) claims above £19,000	55
Evidence required	56
<b>Section 3 - Programmes</b>	57
<b>European Social Fund (ESF)</b>	57
ESF match funding	57
ESF provision	58
Eligibility	58
Geographical eligibility	58
Activity	59
Age	59
Participants starting on activity	59
Learning Support, exceptional Learning Support and learner support	60
Closing the project	60
Priority 1, 4 and people who do not work	61

Priority 2, 5 and people who are employed	62
Publicity, cross-cutting themes and evaluation	63
Equal opportunities	64
Sustainable development	65
Health (London only)	65
Provision supporting NEETs, unemployed and redundancy (14 to 19)	65
Evaluation and annual reporting	65
State Aid	65
Audit	66
Evidence required	67
<b>Community Learning (CL)</b>	70
Meeting Community Learning objectives	70
Assessment	71
Provision	71
Data and Claim Returns	71
Evidence required	72
<b>Discretionary Learner Support (DLS)</b>	73
Administration	73
19+ Hardship	74
20+ Childcare	75
Residential Access Fund	76
Learner Support in Apprenticeships	76
Evidence required	77
<b>24+ Advanced Learning Loans</b>	78
Qualifications funded through Loans	78
Number of Loans	79
Deciding whether learners are eligible for a Loan	80
Loan amounts and financial contributions	80
Information needed	81
Payments	82
If the learner's circumstances change	84
Retrospective applications and changes	85
Evidence required	85
<b>24+ Advanced Learning Loans Bursary Fund</b>	86
Contract funded providers	86
Grant funded providers	87
All providers	88
Evidence required	89
<b>Contracting and subcontracting</b>	91
Subcontracting	93
Procurement	93
Contracting	94
Terms that must be included in contracts with subcontractors	95
Monitoring	96
Second-level subcontracting	97
Reporting subcontracting arrangements	97
Distributing income between you and the subcontractors	97
Evidence required	99

<b>Annex 1</b>	<b>100</b>

## Introduction

This document sets out the funding rules for the funding year 2013/2014. The rules form part of the terms and conditions of the funding agreements and the 24+ Advanced Learning Loans Facility Conditions between the Chief Executive of Skills Funding and all providers of education and training who receive funding from the Chief Executive of Skills or a 24+ Advanced Learning Loan (Loan) Facility.

The Chief Executive of Skills Funding (the Chief Executive) is a statutory post established by the Apprenticeships, Skills, Children and Learning (ASCL) Act 2009 and is the legal entity (the organisation legally entitled to enter into contracts) which enters into funding agreements with providers of education and training.

The terms 'we' and 'Skills Funding Agency' refer to the Chief Executive of Skills Funding and her staff.

When we refer to 'you' or 'providers', this includes colleges, training organisations, local authorities and employers who receive funding from us, or through a Loan Facility, to deliver education and training. We will use the individual type of provider if the requirements apply only to that specific type of provider.

The funding rules and the funding agreement or the 24+ Advanced Learning Loans Facility Conditions contain the full set of requirements which you as a provider must meet.

We may update the funding rules from time to time but the aim is to publish the rules once a year and to avoid making changes during the year (if possible).

We use the term 'funding agreement' to include the financial memorandum, contract for services, conditions of funding grant and the 24+ Advanced Learning Loans Facility Conditions between the Chief Executive of Skills Funding and all providers.

We use the term 'learner' to cover all those who receive education or training we have funded, either directly from the Chief Executive or through a Loan.

# Section 1 - General funding rules for 2013/2014

## Principles of funding

The rules in this document provide the requirements for providers to make sure public funding is protected in a proportionate way. You must operate within the terms and conditions of the funding agreement and the funding rules. If you break these funding rules you are in breach of (have broken) the funding agreement with the Chief Executive. We will take action as set out in the funding agreement.

This section sets out the principles behind the funding rules that apply to all learning and skills provision which we have funded or which has been funded through a Loan.

We will review whether the education and training you provide represents good value for money. If we consider that the funding we have provided is significantly more than the cost of the education and training, we may, after consulting you, reduce the amount of funding we pay you.

(Education and training provided by the Offender Learning and Skills Service (OLASS) follows the same principles as shown in this document. Specific funding rules for OLASS are available on our [website](#).)

1. We will put a new simplified funding system in place in 2013/2014. You can find more details on the new funding method and how it will be applied in the supporting document which is available on our [website](#).
2. You must only claim funding for learners assessed as eligible for funding as shown in these rules. The detailed eligibility criteria are set out in Annex 1.
3. To be eligible to be funded by us, on the first day of learning a learner must be:
  - 3.1. aged 19 or older on 31 August within the funding year in question (if the learning aim is not an Apprenticeship), or
  - 3.2. aged 15 or older and have left compulsory education (if the learner is an apprentice or following an Access to Apprenticeship pathway). The apprentice or learner cannot start until after the last Friday in June in the academic year in which they have their 16th birthday.

(See notes 1 and 2 below.)

4. You must check the eligibility of the learner at the start of each learning aim or programme. Once confirmed as eligible, the learner status for that learning aim or programme will not change for the length of that learning aim or programme. Individuals who are not eligible for funding at the start of a learning aim or programme will continue not to be eligible for that learning aim or programme. This does not apply to learners funded through a Loan, as the Student Loans Company will be responsible for assessing whether the learner is eligible (see paragraphs 334 and 335).
5. You must not claim funding for provision which is fully delivered outside England, unless we give you permission to do so. Eligibility for funding is based on the Education Act 2011, Apprenticeships, Skills, Children and Learning Act 2009, the Education Act 2005, Education (Fees and Awards) (England) Regulations 2007 (Amendment) Regulations 2011 and other appropriate legislation.
6. When starting learners on a qualification, you must make sure that we have approved the qualification for funding and it appears on the Learning Aim Reference Service (LARS).
7. In the case of Apprenticeships, you must only claim for funding for an apprentice on a framework that has been issued in a published Apprenticeship framework document and is available for public funding on LARS on the date that the apprentice starts.
8. You must not claim funding for any part of any learner's learning aim or programme that duplicates provision they have received from any other source. This could be from, for example, a different funding stream we provide, another government department (for example, the Department for Work and Pensions), the Education Funding Agency (EFA) or the learner's employer.
9. You must make sure that there is no duplication in the learner's programme. If this does happen because of an overlap in the content of the learning aim, you must reduce the funding you are claiming to reflect the degree of overlap or, in the case of provision funded by a Loan, reduce the fee to the learner.
10. You must make sure that a learner does not repeat learning that they have already carried out to achieve a qualification, unless they need to do so within an Apprenticeship framework.

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Note 1: The age of the learner on 31 August in the funding year in question is only relevant when determining whether the learner is funded by us or the Education Funding Agency. For all other purposes, including eligibility for 24+ Advanced Learning Loans, the age of the learner is that at the start of learning.

Note 2: This does not apply if the learner is eligible under specific funding rules associated with the European Social Fund (ESF) and Community Learning programmes.



Recognition of Prior Learning (RPL) is an assessment method that considers whether a learner can demonstrate that they can meet the requirements for a unit or qualification through knowledge, understanding or skills they already have and so do not need to develop through a course of learning.

11. For any learning aim outside of an Apprenticeship framework, if a learner achieves more than 50% of assessment through Recognition of Prior Learning (RPL), you must discount by 50% the funding for the percentage of the qualification assessed as being delivered through RPL or, in the case of provision funded by a Loan, reduce the fee to the learner. However, if the learner has achieved 50% or less of assessment for the learning aim through RPL, you do not need to reduce the funding for the percentage of assessment achieved through RPL or, in the case of provision funded by a Loan, reduce the fee to the learner.
12. If RPL is used for a qualification within an Apprenticeship framework, funding for the qualification must be discounted by the percentage which is assessed through RPL. In the case of a Loan, the fee charged to the learner must be reduced by the same percentage.
13. If previously certificated achievement is used to exempt the learner for some or all of the assessment of a qualification (see note 3), the amount of funding for the qualification must be discounted by the percentage achieved through previously certificated achievement. In the case of a learner funded through a Loan, the fee charged to the learner must be reduced by the same percentage.
14. You must not claim funding for provision, or require a learner to take out a Loan where no learning takes place (this would be where only an assessment is needed or a learner resits a learning aim assessment or examination).
15. You must make sure that all learners who are funded by us or funded through a Loan have a Learning Agreement (see Annex 1).
16. You must make sure that accurate unique learner number (ULN) information is provided to awarding organisations and that all information used to register learners for qualifications is correct (you can find more information on the [Learning Records Service website](#)).

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Note 3: This method of 'exempting' a learner from (removing the requirement for) assessment on the basis of previously certificated achievement can also be referred to as Accreditation of Prior Learning (APL).

17. You must not register learners for units or qualifications where the awarding organisation has not signed the Awarding Organisation Agreement for the Personal Learning Record or started to upload achievement.
18. Eligibility for funding is based on the idea that any learner, of any age, must be able to achieve the learning aim or programme of study within the time that they have available. For example, if you know a learner is planning to leave England in three months and the learning aim is planned to take 12 months to achieve, we cannot provide funding.

### **European Social Fund (ESF) match funding**

19. As an ESF Co-financing Organisation, we must identify public funding from our own budgets to be match funding in our ESF programme (that is, an amount of money that is equal to the value of the ESF grant we get from the European Commission). We find this match funding from our mainstream budgets, such as for Apprenticeships, Adult Skills Budget and 16-18 Apprenticeships. When we identify funds as match funding, the learning activity and its associated funding become part of the ESF programme, so they are also governed by the requirements of the ESF programme.
20. If you are a mainstream provider, you need to understand the requirements of the ESF programme. At the start of each academic year, and as described in your contract, we will write to all providers with mainstream provision that could be used as a source of ESF match funding. If you have been used as a source of ESF match funding, we will confirm this also.

### **Evidence required**

As well as the Learning Agreement we will require evidence of the following.

Paragraph 5 – You must give us an individualised learner record (ILR) field delivery location postcode and this must be in England. Where we agree that a learning aim may be delivered elsewhere, you must first get authorisation from your relationship manager. You must keep this authorisation in the Learning Agreement for the learner. In most cases this will be an email from your relationship manager.

## Principles of evidence

The purpose of the evidence is to assure us that you have delivered education and training in accordance with the terms of our funding agreement and the funding rules. We will examine evidence to make sure we have that assurance.

You must create evidence as part of a specific business process or as a usual part of your day-to-day working. We are keen that you use as much naturally occurring evidence as possible as this reduces both unnecessary paperwork and cost.

### The main principles of providing evidence

21. You must hold evidence:

21.1. that the learner exists

21.2. that the learner is eligible for funding, and the rate for funding

21.3. that the education and training being delivered is eligible for funding

21.4. that the learning activity is taking place or has taken place

21.5. that the achievement of learning aims is certified, and

21.6. of other funding, as necessary, such as job outcomes, learning and learner support.

22. We must be able to inspect evidence within the following timescales:

22.1. Evidence that the learner exists and is eligible – by the threshold date for funding

22.2. Evidence of achievement – within three months of the reported date of achievement.

23. The evidence of activity must be based on your own policy. If a learner withdraws from learning without achieving their learning aim, any claim for funding must only be up to the last point where you can provide evidence that the learner was still in learning.

## Learning Agreement

24. Nearly all evidence will be in the learner's Learning Agreement. We have fully described the contents of the Learning Agreement in Annex 1.
25. We have identified evidence requirements that are over and above the Learning Agreement, and at the end of each section we list the evidence needed.

## Confirmation and signatures

26. We recognise that you will decide which process you will use to record the learner's and employer's confirmation. We recognise that it is unlikely that a standard approach and process will meet the needs of every provider.
27. You can hold evidence in an electronic format. This includes holding information on electronic platforms and in scanned format, which includes, but is not restricted to, digital signatures. When you collect a learner's signature, we accept that it may be handwritten, in electronic format or both.
28. You must make sure that digital signatures and the wider systems of control give your management team enough assurance that learners are eligible for funding and that they actually exist. You must also make sure that you have systems in place so you can monitor learner activity, including that they are continuing to learn and achieve.
29. However, it is your responsibility to make sure that you keep an effective and reliable form of evidence to support funding claims, including evidence that learners actually exist and are eligible and the activity they carry out. You must hold the evidence in a form that we can access and audit.

## Learning activity

30. You must provide evidence of learning reported in the Individualised Learner Record (ILR) and recorded in the learner's Learning Agreement. You can do this through naturally occurring evidence, such as registers, attendance records, reports, records of contact and reviews. If you do not have any evidence of learning taking place and you have claimed funding, we have the right to make you repay that funding.

## Retention and achievement

31. If a learner is still in learning or has left and not achieved their learning aim, you must have evidence that learning activity is taking or has taken place. The evidence must be in the Learning Agreement. The exact nature of this evidence would be up to you (and may be based on the way in which learning takes place).

32. If the learner achieves their learning aim, we will not need you to keep evidence of the activity that has taken place.

### **Individualised Learner Record (ILR)**

33. The actual ILR data reported to us is not evidence in its own right. However, as it drives funding it is important that it matches the information contained in the Learning Agreement. The ways in which you collect data may naturally provide evidence. For example, you may include forms used to collect ILR data, such as enrolment forms, in the Learning Agreement.

### **Self-certification by learners**

34. Any self-certification by the learner must confirm both the learner's details and the details that the learner is confirming. We accept that this can be in an electronic format.

Poor data that does not reflect underlying records is one of the main causes of a qualified review by Provider Financial Assurance, our audit team. If you use the Provider Data Self-Assessment Tool (PDSAT), you can avoid many of the common problems. We designed it to give you a suite of exception reports when reviewing your data. The current PDSAT tool, updated guidance and Data Self-Assessment Tool (DSAT) interactive e-learning tool are available through [The Data Service website](#).

You can find Provider Financial Assurance's standard working papers, including detailed testing schedules, on our [website](#).

## Evidence required

As well as the Learning Agreement we will require evidence of the following.

Paragraph 21 – In terms of an Apprenticeship framework (including those funded through a Loan), the last date of actual learning where the apprentice withdraws without achieving the Apprenticeship framework is the date on which the apprentice was taking part in any learning aim that is part of the framework. You can only claim funding if the apprentice has started that learning aim. In other words, you cannot claim funding if the apprentice has not yet started a learning aim that is part of the framework.

Paragraph 21 – The date that a learner has started a learning aim is the date on which the activity directly related to the learning aim has begun. Induction, prior assessment, diagnostic testing or similar activity is not part of the learning aim and is not treated as the start of learning.

Paragraph 21 – The learner will confirm any benefit and unemployment status in a self-declaration. They will also have to declare any job they get. We do not expect confirmation of benefit or unemployment from the Department for Work and Pensions or from a Jobcentre Plus office. Similarly, we do not need an employer to confirm when the learner gets a job. If the benefit was related to the learner's unemployment status, the learner must confirm that they are not claiming this benefit when they get a job. The learner can still claim benefits not relating to unemployment. Job outcome payments (see page 21) do not apply to the learning aims of learners funded through a Loan.

Paragraph 21 – Evidence of achievement must be:

- a certificate issued by the awarding organisation, or
- an Apprenticeship completion certificate issued by the relevant Issuing Authority.

Paragraph 31 - In order to claim funding, there must be evidence that the learner was still in learning on or after the threshold date. The threshold date is based on the planned number of days in learning and the number of qualifying days that the learner is in learning. You do not need to confirm that the learner is in learning on the actual threshold date, but they must be in learning on that date or after it.

## Financial contributions

This section explains the levels of government contribution that are made towards the cost of learning and the rules that you must follow under the Apprenticeships, Skills, Children and Learning Act 2009. Depending on the circumstances, we may:

- fully fund the cost of learning
- expect an employer or learner to contribute towards the costs of learning (known as co-funding), or
- expect the employer or learner (or both) to cover the full cost of learning, possibly through a Loan. There is more information on this in paragraphs 336 to 338.

This section does not apply to programmes funded by the European Social Fund (ESF). Annex 1 contains more details on contributions.

35. You must make all learners, including learners funded through a Loan, aware of your policy on fees and charging.
36. You can decide whether to charge fees to learners who are co-funded, and what to charge the fees for. In exceptional circumstances you can use the hardship element of your Discretionary Learner Support (DLS) allocation to cover fees for disadvantaged learners.
37. If we fully fund a learner's programme, you must not make compulsory charges relating to the direct costs of delivering a learning aim. (If you charge an apprentice's employer, this is up to you. By direct costs we mean administration, registration, assessment, materials or examination costs, whether you have to pay them direct or they are charged by other organisations, such as awarding organisations. It can include charges for identification passes, uniforms, tools and materials where the learner cannot achieve their learning aim without them.) Apprentices cannot be made to contribute financially to the direct cost of learning, unless their Apprenticeship is funded through a Loan.
38. You can pass on subscription charges, made by professional bodies to become a member of that organisation, to the learner or their employer if the learner is aged 19 or over. If achieving the learning aim relies on membership, you can make them pay this as a requirement of enrolling. You can also decide to use DLS funding to pay professional fees if you choose. In the case of a learner funded through a Loan, this would be from the Loans Bursary Fund.
39. If you offer optional extras as well as learning, you can ask a fully funded learner, a learner funded by a Loan or a learner's employer to pay. For example, this can apply to trips and visits that are not a central part of their

learning. It cannot be a condition that the learner takes up the extra or optional extra provision to complete or achieve their learning aim.

40. You can charge for items not directly related to the learning activity, for example, library fines, replacement keys or student ID cards, printing and photocopying outside of learning.
41. If a fully funded learner or a learner funded by a Loan needs a Disclosure and Barring Service (DBS) check to take part in learning, you cannot charge them for this. If the learning is associated with the learner's employment, their employer is responsible for carrying out and paying for this check.
42. You can charge fully funded learners or learners funded by Loans if they want to keep materials used in a learning activity outside of the learning environment (for example, artwork, models and food).

## **Evidence required**

As well as the Learning Agreement we will require evidence of the following.

Paragraph 35 – The learner must confirm that they are aware of your fees and charging policy.



## Section 2 - The Adult Skills Budget including Apprenticeships

The Adult Skills Budget supports flexible and responsive provision to learners and employers.

The Adult Skills Budget supports:

- classroom learning, and
- workplace learning.

Classroom learning is everything that is not workplace learning.

Workplace learning is defined as:

- any learning aim mainly delivered within a workplace and in connection with the employed learner's occupation or their employer's business, and
- any learning in an Apprenticeship framework.

If the learner is 24 or over when they start their learning, and provision is at level 3 or 4, or is an advanced-level or higher Apprenticeship, the provision is not supported by the Adult Skills Budget but may be supported by a Loan.

Further details are given in paragraph 324.

43. You must report all Adult Skills Budget provision by using code 35 in the funding model field in the ILR.

44. All workplace learning must be reported as workplace learning in the learning delivery funding and monitoring fields of the ILR by using code WPL1.

### Qualifications available within the Adult Skills Budget

We approve and monitor qualifications for public funding, including Loans, for learners aged 19 and over in England. The funding approval process is overseen by the Qualifications Approvals and Governance Group, which is independently chaired.

For more information on the qualifications we approve and monitor for funding, and the related qualifications policy, please see the Qualifications Information Guide for 2013/2014. This will be published on our [website](#).

45. The main part of the publicly funded offer is focused on qualifications which are part of a regulated framework. This makes sure that provision is robust and of high quality. We focus funding on qualifications offered by awarding organisations recognised by the Office of Qualifications and Examinations Regulation (Ofqual) or, in the case of Access to Higher Education, the Quality Assurance Agency (QAA).

46. Some units of qualifications are eligible for funding. These units can be delivered as part of the offer for those who are unemployed and entitled to full funding. We also fund units that are within the QCF English and maths qualifications approved for funding through the Adult Skills Budget. These are funded for all eligible learners.
47. You must not deliver units instead of qualifications in order to gain a funding advantage.
48. Awards at levels 2 and 3 are only available as part of the offer for unemployed people or where the awards are Trade Union Congress (TUC) learning aims being studied by trade-union representatives.
49. We do not fund 'prescribed higher education', such as degrees, foundation degrees and Higher National Qualifications. This is the responsibility of the Higher Education Funding Council for England (HEFCE).

### Using the innovation code

The innovation code (the Code) allows colleges and training organisations to respond quickly to local employers' needs and gaps where skills are needed. It does this by allowing you to enrol individuals on a course that does not lead to a QCF qualification.

The Code itself has several learning-aim references, which colleges and training organisations can use on their ILR returns to claim funding so they can deliver provision.

There is no formal application process to use the Code, and colleges and training organisations do not need to ask our permission to use the Code.

Colleges and training organisations must deliver the Code within their existing funding allocation.

For more information on using the Code, please see our [website](#). Updated documents for 2013/2014 will be issued in April 2013.

50. Any provision you deliver through the Code must be designed to respond to local employer or business and learner needs, or to respond to identified employment opportunities.
51. Provision delivered through the Code should become available nationally and be capable of moving into the QCF as a qualification. You must work with an Ofqual-recognised awarding organisation to support this. It is for you to decide when and how you involve an awarding organisation to

arrange for a qualification to be developed to recognise the learning that has taken place and the achievement gained.

52. If you use the Code, it must be in line with other rules around what type of provision is eligible for public funding.
53. You can use the Code for both employed and unemployed learners. If you use the Code for unemployed learners, this should be to help them move into employment.
54. You must not use the Code to deliver all or part of an Apprenticeship framework. However, once an accredited qualification has been developed to recognise learning delivered through the Code, this new qualification could become part of a current or future framework.
55. If a subcontractor wants to use the Code, they must get permission in writing from the lead provider, and the lead provider should monitor delivery. The subcontractor must already be delivering either Adult Skills Budget or OLASS provision on behalf of a lead provider.
56. The Code can be used for new or existing provision. If the provision already exists then the following apply.
  - 56.1. The provision must not be a non-regulated version of units or qualifications that are already in the QCF.
  - 56.2. The provision must not lead to a qualification listed in LARS, as this will have already been considered for public funding (see note 4 below). This includes qualifications that are no longer available for public funding for new starts in 2013/2014 as a result of the focus of the qualifications offer changing. Further information is available on our [website](#).
  - 56.3. The provision must not have already had public funding removed from it (for a list of 'non-regulated' provision which we have removed public funding from, see our website).
  - 56.4. The Code must not be used to replace employer funding. In other words, if an employer is already paying for a course to be run for their employees, you cannot use the Code to fund the course for those learners.
57. You cannot use funding claimed through the Code to pay the development costs of colleges and training organisations, employers or awarding organisations associated with creating a qualification.

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Note 4: If a qualification has already been approved for public funding, you should enrol learners for this qualification rather than using the Code. If it has not been approved for funding, this means it is not appropriate for public funding.

58. Provision delivered through the Code is not eligible for funding through a Loan.

59. You cannot use the Code to deliver provision that is at:

59.1. level 5 or above, or

59.2. level 3 or above for learners aged 24 or older at the start of their learning.

## English and maths

English and maths refers to English and maths qualifications and units to help learners to achieve their GCSE (A\* to C) or Functional Skills level-2 qualification. The suite of fully funded learning aims defined as English and maths are set out in Annex 1.

60. Our Qualifications Approvals and Governance Group will be monitoring the take-up of QCF qualifications, patterns of achievement, and the relationship with GCSE English and maths and Functional Skills English and maths.

61. Learners aged 19 and over, excluding apprentices, are eligible for full funding to take GCSE English and maths if they do not currently have these qualifications at grades A\* to C, no matter what other qualifications they already hold. If a learner needs to 'retake' their GCSE English and maths because they did not achieve an A\* to C grade, the learner must not just resit the examination but also carry out the necessary learning.

62. When designing an English and maths learning programme using the QCF qualifications or units, or lower-level Functional Skills qualifications, providers must support a learner's progression towards achieving their GCSE or Functional Skills qualification at level 2. Providers must not enrol learners on extra qualifications or units which are not necessary for progressing towards a GCSE or Functional Skills level-2 qualification.

63. Learners must be enrolled on a level of learning in English and maths that is beyond that to which they are assessed. For example, if a learner is assessed as being at entry level 3 they must be enrolled on at least a level-1 qualification. Learners must not simply be accredited for knowledge they already have.

64. You must:

64.1. carry out a thorough initial assessment to determine the level at which the learner is currently working so you can decide which level they will enrol onto

- 64.2. carry out an appropriate diagnostic assessment to inform and structure a learner's Learning Agreement to use as a basis for a programme of study
  - 64.3. deliver ongoing assessment, and
  - 64.4. record all outcomes in the Learning Agreement.
65. You must use up-to-date assessment tools that are based on the National Literacy and Numeracy Standards and core curriculum. The tools must:
- 65.1. place a learner's current skills levels within the National Qualifications Framework (NQF)/QCF levels, and
  - 65.2. be administered by suitably qualified individuals including, for the diagnostic assessment, a practitioner who will structure the learner's programme of study.
66. Any non-regulated English and maths provision for learners with learning difficulties or disabilities (LLDD learners) must be based on the National Literacy and Numeracy Standards and must enable the learner to progress to a regulated English and maths qualification (see Annex 1).

### Prince's Trust Team Programme

The Prince's Trust Team Programme is for 16- to 25-year-olds. It is a 12-week course designed to improve confidence, motivation and skills. Each 'team' aims to recruit a mix of 16- to 25-year-olds of different abilities and backgrounds, including employees sponsored by their employers. The 'teams' are funded by us but are run and managed locally by providers in partnership with the Prince's Trust.

67. We have confirmed to the Prince's Trust that funding for their programme would be protected at 2012/2013 levels. As such, you must claim:
- 67.1. as shown in the rates matrix, the funding rate for the award or certificate in employment, teamwork and community skills (QCF) at entry level 3, level 1 and level 2
  - 67.2. the costs of the residential element of the Prince's Trust Team Programme from your Discretionary Learner Support fund, and
  - 67.3. all other support costs from Learning Support funding.

## English for Speakers of Other Languages (ESOL)

English language skills are essential in the community and for success in the job market. Learners who do not use English as their first language are expected to undertake ESOL learning which improves their prospects of getting a job and enables them to progress to Functional Skills in English and GCSE in English language.

68. The ESOL learning aims we fund are set out in Annex 1.

69. Any non-regulated ESOL provision for learners with learning difficulties or disabilities must be based on the National Literacy and Numeracy Standards and must enable the learner to progress to a regulated qualification.

70. The rules relating to assessment and enrolment, as set out in paragraphs 63 to 66 above, apply to ESOL provision.

### Job outcome payments

Job outcome payments are made for unemployed learners who leave their course early to take up a job. The outcome payment reduces the 'disincentive' which puts providers off taking on unemployed learners. It does this by paying 50% of the achievement funding if a learner leaves training without achieving the qualification but gains a job outcome.

Job outcome payments are built into the earnings method.

For the purpose of job outcome payments, a job must last 16 hours or more a week for at least four weeks in a row.

A job outcome payment will also be made if a learner gets a job but continues in learning. If the learner then achieves the learning aim, we will pay the remaining 50% of the achievement funding (see note 5).

If the learner takes part in the Work Programme as well as learning funded by us, claiming a job outcome payment is not affected by the Work Programme. That is, this is not considered to be a duplication of funding. Job outcome payments do not apply to the learning aims of learners funded through a Loan.

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Note 5: Under our new funding system, the achievement funding will be 20% of the funding rate.

71. To claim job outcome funding for learners who are receiving Jobseeker's Allowance, are in the Work-Related Activity Group for receiving Employment and Support Allowance, or are receiving Universal Credit and mandated (required) to undertake skills training, you must receive a declaration from the learner that they have stopped claiming benefits related to unemployment and have entered work.
72. To claim job outcome funding for unemployed learners receiving wider benefits, you must receive a declaration from the learner that they have started work.
73. You claim job outcome funding by reporting an employment outcome in the employment outcome field of the ILR. You must report data to us within the ILR for the current year in which the learner leaves learning.
74. To generate a job outcome payment:
  - 74.1. the learner must be unemployed
  - 74.2. the learning aim must not be classified as 'in workplace learning' on the ILR
  - 74.3. the ILR field benefit status indicator must be filled in, and
  - 74.4. the employment outcome field of the ILR must report that an eligible job has been gained.

## **State Aid**

75. The UK Government and the European Union require us to report on provision that could be treated as State Aid. So that we can report this information, you must return information on provision that is within the scope of the State Aid Regulations. We have also issued a separate technical briefing note with details of what you need to do. You do not need to return such information for any provision funded by Loans.

## **Using the Adult Skills Budget for offenders – public prisons**

76. If you receive Adult Skills Budget funding, you can use it to deliver provision to learners in custody. Using this budget in this way must work alongside, and not duplicate or compete with, OLASS-funded provision. The OLASS budget can only be used for adults in custody, so it is important to make the best use of this budget before using the Adult Skills Budget.
77. If you deliver this provision and you are not an OLASS provider, you must agree this with the OLASS provider.

78. If you are using your Adult Skills Budget with offenders in custody, you must keep to all Adult Skills Budget eligibility and contribution requirements and report this in the learning delivery funding and monitoring fields of the ILR using code LDM119.
79. When a learner is released on temporary licence to take part in learning, the provision must be funded using the Adult Skills Budget and must meet the eligibility requirements associated with it.
80. Offenders in custody who are over 24 and want to study at level 3 or 4 may be eligible to apply for a Loan. If you intend to deliver Loans-funded provision to offenders in custody or released on temporary licence, see the '24+ Advanced Learning Loans 2013/2014' section of the OLASS Funding Rules 2013/2014 for more details about offenders' eligibility for Loans.

### **Using the Adult Skills Budget for offenders – private prisons**

81. Throughout England there are a number of contracted-out prisons which are run by private companies. In the past, when a contract was successfully won by a private company, the bid would include delivering education as well as all the other elements involved with running a prison. Only recently has the requirement to provide education started to be separate from the operator's contract and switched to be funded using OLASS. Currently only four privately run prisons are funded through OLASS (Thameside, Doncaster, Oakwood and Birmingham). The rules in paragraphs 76 to 78 apply in these establishments and any others that move to OLASS funding.
82. The other private prisons are given a core budget, from the Ministry of Justice, which includes an element for education. Prisons are expected to make best use of this funding before using other sources of public funding. As part of the agreed service-level agreement they will need to deliver all aspects and so it is their decision on where they get their education from.
83. As well as this, private prisons can work with colleges and training organisations to improve how their education service is delivered to prisoners. This can be funded through the Adult Skills Budget and will be governed by the same rules and regulations covering public prisons.
84. As above, when a learner is released on temporary licence to take part in learning, the provision must be funded using the Adult Skills Budget and must meet the eligibility requirements associated with it. Offenders who are held in private prisons, are aged over 24 and who want to study at level 3 and 4 may be eligible to apply for a Loan. If you intend to deliver Loans-funded provision to offenders in custody or released on temporary licence, see the '24+ Advanced Learning Loans 2013/2014' section of the OLASS Funding Rules 2013/2014 for more details about offenders' eligibility for Loans.



## Breaks in learning

85. There will be times when a learner or apprentice cannot carry on with the learning they started (for example, because they are ill, pregnant or temporarily unavailable). In these instances, the learner or apprentice will be able to take a break in their learning if they tell you beforehand that they want to return to learning. During this break, funding is stopped and the learner or apprentice is not included in success rates.
86. To show that a learner or apprentice is on a break, the ILR for them must show that they have left learning and you should put code 6 – break in learning in the completion status field of the ILR. When the learner returns you must fill in the original learning start date field in the ILR. This is important for apprentices as they will have to meet the minimum-length rule for their Apprenticeship through their total time in learning.
87. You must also use the funding adjustment for prior learning field in the ILR to amend the funding that you will claim when the learner returns. This figure will be based on the time the learner has already spent on the original learning aim.
88. If the learning aim that the learner was following is no longer valid when they return (in other words, the certification date has passed), you cannot class this as a break in learning. This limits the length of time that a learner can have as a break in learning.
89. For more information on how to record breaks in learning on the ILR, see the ILR provider support manual on the Information Authority's website.

## Evidence required

As well as the Learning Agreement we will require evidence of the following.

Paragraph 63 – In the Learning Agreement you must record the enrolment of the learner on a learning aim that is beyond that to which they are assessed.

Paragraph 64 – You must keep evidence that you have assessed all learners before, or as soon as, they start learning. In the Learning Agreement you must record the outcomes of all assessments.

Paragraph 64 – You must record, in a format that is available for review, all initial English and maths assessment outcomes and the resulting enrolments for learning aims.

Paragraph 75 – You must keep, and give us copies of, records of provision identified as State Aid.

## Apprenticeships

### Statement on Apprenticeship Quality

In 2013/2014, only Apprenticeships which are a job with an accompanying skills development programme, as defined by the Specification for Apprenticeship Standards in England (SASE) and approved by the relevant Issuing Authority will be funded by us or through a 24+ Advanced Learning Loan. It allows the apprentice to gain technical knowledge and real practical experience, along with the personal and functional skills needed for their immediate job and future career. The apprentice gains these using a mix of learning in the workplace, formal off-the-job training and the opportunity to practise new skills in a real work environment. This mix differentiates the Apprenticeship experience from training delivered just to meet the precise needs of the job.

When they have completed the Apprenticeship, the apprentice must be able to carry out the full range of duties confidently and competently in the range of circumstances appropriate to the job, to the standard set by the industry.

To see the Statement on Apprenticeship Quality in full and for a list of frameworks we fund, see the [Apprenticeships website](#).

### Principles

This section sets out the principles behind the funding rules that apply to all Apprenticeships that we fund or that are funded through a Loan.

90. To receive funding you must do the following:

90.1. You must be content that all apprentices you claim funding for are carrying out a new job role, or if in an existing job role, that the individual needs significant new knowledge and skills and that an Apprenticeship is the most appropriate learning programme for them.

90.2. You must make sure that the job allows the apprentice to gain the wider employment experience that is a central part of the Apprenticeship.

90.3. You must advertise new Apprenticeship vacancies on the Apprenticeship Vacancies (AV) website. (New Apprenticeships are job opportunities where the employer is looking to recruit someone to do an Apprenticeship. If an Apprenticeship is taken up by

someone already working at the company, they do not need to be posted on the system.)

- 90.4. You must enter on the Apprenticeship Vacancies website the details of the successful applicants.
91. An individual cannot start an Apprenticeship we are funding until after the last Friday in June in the academic year (1 September to 31 August) that they become 16 years of age, usually known as Year 11. There are no exceptions to this rule, even if the individual is no longer at school or is already in work.
92. For each apprentice, we will only fund a single Apprenticeship framework at any one time. This means that if an apprentice wants to progress onto another framework, they must have completed the previous Apprenticeship first.
93. We fund only those aims identified in the Apprenticeship framework as 'mandatory', unless we say differently within the funding rules.
94. Individuals who already have a qualification at level-4 or above are only eligible for funding for a higher Apprenticeship at level 5 or above. They are not eligible for funding for an intermediate-level, advanced-level or level-4 higher Apprenticeship. For advanced-level and higher Apprenticeships where individuals are aged 24 and over when they start their learning, the provision is not supported by the Adult Skills Budget but may be supported by a Loan. Individuals are eligible to apply for a Loan if they have not previously had a Loan for a similar type and level of Apprenticeship.
95. We will not fund an Apprenticeship delivered only by distance learning.

### Access to Apprenticeships

The Access to Apprenticeship pathway allows individuals with the clear potential to succeed in Apprenticeships to start training before they have a paid job with an employer. The objective of the pathway is for the learner to gain a paid Apprenticeship with an employer as quickly as possible so that they can pursue and complete their training in the usual way. A learner on this pathway is not considered to be an apprentice until they become employed. However, they will work towards the elements of an Apprenticeship.

The Access to Apprenticeship pathway and the Apprenticeship are delivered in one continuous programme.

The Access to Apprenticeship pathway will be closed to new starts from 1 January 2014.

96. To be eligible for the Access to Apprenticeship pathway, the following must apply:
- 96.1. The individual must have left full-time compulsory education and be aged 15 to 24 on the day they start. (Individuals aged 24 who want to get an advanced-level Apprenticeship will not be eligible for funding from us. However, these individuals are eligible to apply for a Loan as long as they are not getting their advanced-level Apprenticeship through the Access to Apprenticeships pathway).
  - 96.2. The individual must have been assessed as being able to fully take part in an intermediate-level or advanced-level Apprenticeship.
  - 96.3. The individual must be either defined as not in education, employment or training (NEET) immediately before the start date or be assessed and eligible for learning support.
97. All Apprenticeship framework activity must take place within the agreed hours as shown in the Learning Agreement.
98. You must move the learner onto a full Apprenticeship with a contract of employment (including an Apprenticeship Agreement) as soon as possible. The pathway must not last longer than six months from when the learner starts, and will usually be shorter than this. This six-month period cannot be extended to take into account learners who carry out less than 30 hours of learning a week.
99. The learner will spend most of their time on the Access to Apprenticeship pathway in a work placement with an employer that is identified at the start of the pathway. The number of hours on the pathway will be the same as expected for those on a full Apprenticeship.
100. When the learner becomes employed, you must report this in the ILR by filling in a new employment status record for the learner.
101. You must not recruit more than 10% of your overall Apprenticeship starts through the Access to Apprenticeship pathway without the agreement of your relationship manager.
102. A learner cannot achieve their full Apprenticeship while on the Access to Apprenticeship pathway. They need to be in paid employment as an apprentice in order to do so. A learner who has completed all elements of the Access to Apprenticeship pathway without having been employed will not be able to claim their Apprenticeship completion certificate.
103. The Access to Apprenticeship pathway and the Apprenticeship are delivered in one continuous programme from beginning to end. The time a learner spends on an Access to Apprenticeship pathway (up to six

months) will contribute to the minimum 12-month duration for the full Apprenticeship. Any learner who does less than 30 hours a week on the Access to Apprenticeship pathway must have the minimum 12-month duration of the full Apprenticeship extended.

104. If you fail to find an employer for a learner on the Access to Apprenticeship pathway by the six-month point, you will not qualify for the achievement element of the funding, even if the learner then gets a job and achieves the Apprenticeship after the six-month period.
105. If you fail to secure employment for less than 90% of all the individuals you have enrolled through the Access to Apprenticeship pathway in a given year, you will no longer be automatically eligible to deliver the pathway in future years.
106. A learner can start any or all of the elements of an Apprenticeship framework during the period on the Access to Apprenticeship pathway. Providers should tailor the training to achieve the main objective of the learner getting a paid Apprenticeship with an employer as quickly as possible.

### Apprenticeship Agreement

The requirement for an Apprenticeship Agreement between an employer and an apprentice, under the ASCL Act 2009 sections 32 to 36, came into force on 6 April 2012. An Apprenticeship Agreement is needed at the start of the Apprenticeship for all new apprentices (whether funded by us or through a Loan) who start on or after that date, and must be in place for the entire length of the Apprenticeship. Without it, a completion certificate cannot be issued. You can find more information on Apprenticeship Agreements on the [Apprenticeships website](#)

107. The Apprenticeship Agreement must state that the apprentice will be carrying out an Apprenticeship in a particular skill, trade or occupation under a qualifying Apprenticeship framework.
108. The Apprenticeship Agreement can be in the form of a written statement of particulars under the Employment Rights Act 1996. Or, it can be a contract of employment or a letter of engagement where the employer's duty under the 1996 act is treated as met.
109. Existing and new contracts of employment between the apprentice and the employer that meet the 1996 act will also meet the requirements of the Apprenticeship Agreement. This applies as long as they include a statement (which may be an annex) setting out the skill, trade or occupation linked to a relevant recognised English framework, issued by the appropriate Issuing Authority, for which the apprentice is being trained.

## Employment

The ASCL Act 2009 says that all apprentices must be employed at the start of the first day of their Apprenticeship. The only exceptions are apprentices in certain occupations that are covered by the 'alternative completion conditions' (see paragraph 117) agreed by the Government, or learners on the Access to Apprenticeship pathway (see paragraphs 96 to 106) before getting a paid Apprenticeship. All apprentices must be employed in a job role with a productive purpose.

The term 'employed' is defined as an individual who has a 'contract of employment'. This does not include individuals who are self-employed.

Funding or a Loan provided for an Apprenticeship must not be used to pay the apprentice's wages. The funding or Loan is to fund learning.

110. You must make sure that wages are paid by the employer, not by you. You must be able to prove that you are not using our funding or the Loan to pay apprentices' wages.
111. Employers must pay at least the relevant National Minimum Wage set by the Government. Further information can be found on the [gov.uk website](http://gov.uk).
112. You must not directly employ apprentices purely for the purpose of delivering an Apprenticeship. The only exception to this is where employment is through a recognised Apprenticeship training agency (ATA), which must operate within the National Apprenticeship Service (NAS) ATA framework and keep to the NAS ATA Recognition Process and Guidance, and other conditions as set out on the Apprenticeships website.

### Apprenticeship training agency (ATA)

113. If an organisation operates as an ATA, for example their main business is employing apprentices who are made available to employers for a fee, they must clearly identify themselves as such and keep to NAS ATA regulations.
114. If you are receiving funding or a Loan, and operate an ATA, you must set this up as a distinct business so that apprentices are contracted employees of the ATA and not you. You must not use funds intended to deliver training to pay apprentices' wages. On the ILR you must record the following to show that the apprentice is employed by an ATA.
  - 114.1. the location (host) employer details in the delivery location postcode field

114.2. the employer reference number of the ATA (as the actual employer of the apprentice)

114.3. code 130 in the Learning Delivery FAM field

115. To protect the quality of Apprenticeship provision, you must only contract with NAS-recognised ATAs (or an organisation registered with NAS as working towards being a NAS-recognised ATA). Please see the latest version of the [ATA framework](#).

116. Group training associations (GTAs) that offer an ATA service to employers must follow ATA-specific rules.

### **Alternative completion conditions**

117. The Government has agreed that in certain circumstances, apprentices do not need to be employed under an Apprenticeship Agreement. These are shown below.

117.1. Apprentices who are made redundant through no fault of their own, up to six months before completing their Apprenticeship.

117.2. Occupations or frameworks where self-employment or working other than for reward is normal within the sector, but where the apprentice is likely to get a quality experience. The defined list of these is in Annex 1.

117.3. Apprentices who are carrying out the advanced-level Apprenticeship in Sporting Excellence (AASE) in sports designated for Olympic, Paralympic and Commonwealth Games (see Annex 1 for a list of official sports).

118. For AASE above, you must:

118.1. have endorsement that each AASE apprentice has been identified by the relevant national governing body (NGB) as having the potential to compete at games level and be included in the number of AASE Apprenticeships agreed between us, NAS and NGB for the funding year, and

118.2. hold this endorsement in the apprentice's Learning Agreement. If you do not have this supporting endorsement, we will withdraw funding for those apprentices.

## Employment hours

Apprentices must have spent a substantial percentage of their time as an apprentice actually doing the job they are developing a skill in, on premises where that job is usually carried out. This will normally be for at least 30 hours a week, but may be more. Apprentices must be paid both for the hours they spend working and for those that they spend studying.

Apprenticeships where the apprentice is working and studying for less than a combined total of 30 hours a week should be by exception only and in each case have the minimum time they can be delivered in extended by a corresponding percentage. For example, the usual minimum planned delivery time is a 12-month Apprenticeship with 30 hours a week spent with the employer. However, if the apprentice can only work 20 hours a week, you will need to extend the end date by one third – in other words, the Apprenticeship will last for 18 months.

You can find more guidance on Apprenticeship hours, and how long Apprenticeships should last, on the [Apprenticeships website](#).

119. As well as paying at least the National Minimum Wage as explained in paragraph 111 you must:

- 119.1. make sure that, apprentices are mainly employed for at least 30 hours a week (they are not allowed to be employed for less than 16 hours a week in any circumstances), and
- 119.2. agree the average hours the apprentice will be 'at work' with the employer, usually defined using a contracted number of hours every week. This must be recorded in the Learning Agreement, and you, the employer and the individual apprentice must have the opportunity to agree to these hours which will include periods of study.

120. If the apprentice or the employer believes there is a case for the apprentice working for less than 30 hours a week, you must:

- 120.1. make sure that the apprentice is working for at least 16 hours a week
- 120.2. record the proposed average number of hours each week, and
- 120.3. keep a record of the circumstances which have led them to believe a reduction in hours is appropriate. This will either be due to the apprentice's personal situation or because the industry or job role in which they are employed does not always offer the possibility of a 30-hour working week.



121. 'Zero-hour' contracts, which do not specify a set number of hours, will be accepted for Apprenticeships only if there is a contract of employment in place between the apprentice and the employer but where the working hours are not fixed. The number of hours worked each week and the pattern of working hours may vary (as long as it meets the requirements of relevant regulations) but there must be a clear undertaking between the employer and the apprentice to complete the Apprenticeship within the hours worked.

122. Apprentices with an irregular working pattern must use a four-week rolling average to make sure they keep to the employment hours funding rules (paragraphs 119 to 121).

123. You must also:

123.1. make sure that the apprentice can complete all elements of the framework within their contracted hours

123.2. make clear the extended length or average working-hour pattern when advertising a vacancy on the AV website, if that vacancy is listed as having less than 30 hours, and

123.3. keep to the ASCL Act 2009 and SASE which states that an apprentice must receive at least 280 guided learning hours (glh) each year of their intermediate-level or advanced-level Apprenticeship. All frameworks which keep to SASE must give the minimum number of glh to be delivered in each year (on and off the job). This may be more than the minimum of 280 glh shown above.

As part of the performance-management process, if we consider that you are carrying out large numbers of Apprenticeships inappropriately, for example splitting a full-time vacancy into two vacancies, we will consider removing funding and giving it to high-performing providers who are protecting the interests of apprentices.

### **Recognition of Prior Learning, exemption on the basis of previously certificated achievement, and duplication**

We do not fund learning aims where only assessment is needed to achieve a qualification. A significant amount of new learning and workplace practice must be involved in all Apprenticeships. You must only enrol apprentices who will clearly benefit from the new skills gained as a result of the Apprenticeship.

For apprentices funded through a Loan, providers must make sure the fee reflects the skills provision the apprentice needs.

- 123.4. You must assess each apprentice funded by us, record their prior learning on the Learning Agreement, and indicate this in the funding adjustment for prior learning field of the ILR for all apprentices not carrying out all elements of the framework. This applies to Recognition of Prior Learning and also exemption on the basis of previously certificated achievement.

### **Apprenticeship duration**

To protect quality and make sure apprentices receive a high-quality meaningful experience, all Apprenticeships must last for a minimum period of time.

Apprenticeships will often take considerably longer and should be based on the framework's recommended duration. You must not assume a 12-month minimum, but refer to the relevant framework and funding rules paragraphs 124 to 135.

The Apprenticeship should include guided learning, assessment, and training, and monitored workplace practice, planned and agreed between the apprentice, their employer and you.

### **Minimum length of 16-18 Apprenticeships**

124. You must:

- 124.1. follow the guidance in the Apprenticeship framework paying particular attention to the content of the framework, its links to specific job roles and the stated framework length as identified by the framework developer
- 124.2. make sure that all apprentices aged under 19 on their start date have a recorded 'minimum planned delivery', that is a period of learning and workplace practice in which they are expected to complete their Apprenticeship which is 12 months or more (even if the apprentice has already achieved any of the learning aims contained within the framework), and
- 124.3. make sure that the minimum planned delivery is extended by the length of any break if the apprentice takes a break in learning.

125. To make sure you receive the achievement element of the funding, the actual end date recorded on the ILR must be at least one year and one day after the start date.

126. You must not enter an expected duration of less than 12 months under any circumstances. An Apprenticeship cannot be completed in less than 12 months and so we will not pay the achievement element of the funding and an Apprenticeship completion certificate cannot be issued.
127. You must make sure that throughout the entire length of the Apprenticeship, the apprentice is involved in active learning or monitored workplace practice.

### **Minimum length of 19+ Apprenticeships**

128. You must:

- 128.1. follow the guidance in the Apprenticeship framework paying particular attention to the content of the framework, its links to specific job roles and the stated framework length as identified by the framework developer, and
- 128.2. make sure that apprentices aged over 19 on their start date have a recorded 'minimum planned delivery' (that is, a period of learning and workplace practice) in which they are expected to complete their Apprenticeship which is 12 months or more, unless there is Recognition of Prior Learning or exemption on the basis of previously certificated achievement in line with the instructions below.

129. You must not claim funding or, in the case of provision funded by Loans, charge a fee, for any qualifications or parts of qualifications that are not delivered due to RPL or exemption on the basis of previously certificated achievement.

130. Similarly, you must reduce funding or, in the case of provision funded by Loans, reduce the fee charged, by a proportionate amount for any qualifications that are shortened due to RPL or exemption on the basis of previously certificated achievement. We will not pay you the full amount of funding otherwise available for an Apprenticeship which finishes in less than 12 months.

131. If there is RPL or previously certificated achievement against any part of the framework, you must do the following.

- 131.1. You must record the RPL or previously certificated achievement in the initial learning assessment of the apprentice. This must show that you have adequately assessed the apprentice's prior learning, achievement and future needs, and that an Apprenticeship is still the most suitable learning programme for that individual. Prior learning can never reduce the length of the Apprenticeship below six months.

- 131.2. You must record this in the Learning Agreement, including noting how this affects the planned length of the Apprenticeship.
- 131.3. You must record in the Learning Agreement how you have adjusted funding or, in the case of apprentices funded through a Loan, adjusted the fee charged, to reflect this previous learning.
- 131.4. Except for funding provided through a Loan, you must use the funding adjustment for prior learning field of the ILR to reduce the funding claimed for that individual.
132. If the apprentice takes a break in learning, you must make sure that the length of any break is added to the minimum planned delivery.
133. You must make sure that throughout the entire Apprenticeship the apprentice is involved in active learning or monitored workplace practice.
134. An apprentice aged 19 or over on the start date cannot complete an Apprenticeship in less than six months and an Apprenticeship completion certificate cannot be issued. For apprentices funded by us who complete their Apprenticeship in less than six months, we will not pay the achievement element of the funding.
135. An apprentice aged 19 or over on the start date where the Apprenticeship is planned to last less than six months will not be eligible for funding from us or through a Loan.

### **Minimum length, transfers between providers and breaks in learning**

136. If an apprentice transfers between providers, or returns after a break in learning, you must make sure that the total amount of time spent on their apprenticeship meets the minimum-length rules. This could mean that the planned length reported in ILR is less than the minimum needed, but you have evidence that the apprentice meets the required length due to learning taking place before a break in learning or where they were with another provider. This rule only applies when the apprentice continues on exactly the same Apprenticeship framework and pathway that they originally started.

### **Completion and achievement of an Apprenticeship framework**

137. The Apprenticeship framework achievement date (as reported in the ILR) is the date on which both the apprentice and you (if you are claiming on behalf of the apprentice) sign the [apprentice declaration and authorisation form](#). If the apprentice and you sign on different dates, it is the later date that applies. It is only at this point that you can report, in the outcome field of the ILR, that the Apprenticeship programme aim has been achieved (code 1). If the minimum duration of the Apprenticeship

has not been completed, you must enter 'no achievement' (code 3) in the outcome field of the ILR.

138. After filling in the apprentice declaration and authorisation form, the apprentice or you (if you are claiming on behalf of the apprentice), or the employer acting on behalf of the apprentice, must apply for an Apprenticeship completion certificate from Apprenticeship Certificate England (ACE).
139. If you, the apprentice or the employer do not apply for an Apprenticeship completion certificate, in the ILR you must not report that the Apprenticeship has been achieved. This applies even if the apprentice has signed the apprentice declaration and authorisation form. If you, the employer or the apprentice do not apply for an Apprenticeship completion certificate, the Apprenticeship cannot be reported as achieved. We are working closely with ACE to compare achievements reported in the ILR against the Apprenticeship completion certificates they issue.
140. In the case of apprentices funded by us, if you, the apprentice or the employer do not apply for an Apprenticeship completion certificate, you must not claim the achievement element of the Apprenticeship.
141. You have up to three months to deal with the process of applying for an Apprenticeship completion certificate, sort out any queries, receive and keep a copy of the Apprenticeship completion certificate from ACE. You must pass on all Apprenticeship completion certificates to the apprentice. If after three months you have not received an issued certificate, you must amend the ILR data by updating the outcome and achievement date fields of the ILR to show that the Apprenticeship has not been achieved.

## English and maths

142. For all intermediate-level and advanced-level Apprenticeships, you must offer level-2 Functional Skills or GCSE qualifications in both English and maths to all apprentices who have not yet achieved level 2 in either or both English and maths, whether or not it is included in a framework.
143. If the apprentice has previously achieved level-1 qualifications in either or both English and maths, you need to keep a record of the offer of level-2 study as part of the Learning Agreement.
144. If an apprentice takes and achieves a level-1 Functional Skills qualification or GCSE (to at least grade E) in either or both English or maths as part of their Apprenticeship and could achieve a Functional Skills qualification at level 2, you must offer the opportunity to progress.

145. You must report these additional level-2 qualifications in English and maths as delivered within the Apprenticeship framework and we will fund them as an Apprenticeship aim. This includes co-funding for all 19+ Apprenticeship qualifications. Achievement of the Apprenticeship framework does not depend on achieving these additional qualifications. Also, we will not use these qualifications when calculating your success rate.
146. Key skills are only part of an Apprenticeship framework if the apprentice started on or before 30 September 2012, and they started learning for the key skills on or before that date.

### **Breaks in learning**

147. The rules on breaks in learning apply to all apprentices, as stated in paragraphs 85 to 89 and paragraph 132.

### **Second Apprenticeships at the same or a lower level**

Apprentices who have successfully completed an Apprenticeship are not expected to start a second Apprenticeship at the same or a lower level. In other words, in most cases apprentices will progress to a higher level. However, in certain circumstances it may be appropriate for the apprentice to be multi-skilled at the same level.

For apprentices funded by Loans, their first Loan application does not refer to prior learning. However, subsequent Loan applications cannot be for study at the same type and level of qualification or Apprenticeship framework.

148. In these instances you must record that the repeat or lower-level Apprenticeship is supporting the apprentice in a new job role.

### **Small and medium-sized enterprises (SMEs)**

How you deal with SMEs is vitally important. The National Apprenticeship Service (NAS) has published a service standard for dealing with smaller employers, which you can find on the [Apprenticeships website](#). In terms of our funding for workplace learning, an SME is an organisation with fewer than 250 employees. This total must contain all employees whether full- or part-time, including parent and subsidiary companies no matter where they are based. For public organisations, it is the relationship between the organisations that is important to consider. For example, a library or central works department would be considered as part of the whole local authority.

149. SMEs with fewer than 10 employees (not including any apprentices) may add up to two extra funded units to their Apprenticeship, for each apprentice. You can find the list of eligible units on the [Apprenticeships website](#).
150. Normal funding rates and rules apply. If an employer contribution applies to the rest of the framework, it will also apply to these units.
151. Extra funded units do not apply to provision funded by Loans.

### **Funding for apprentices who have learning difficulties or disabilities**

Investing in further education and skills training for learners with learning difficulties or disabilities (LLDD learners) is an important part of the support that the Government provides to disabled people. The right level of support needs to be available to make sure barriers to learning are removed and learners can make the most of their potential.

We will fund 19- to 24-year-old apprentices with a Learning Difficulty Assessment as set out in the ASCL Act. That is, we may fund suitable Apprenticeship training for people who:

- have left compulsory school age but are under 19, or
- are 19 or over but under 25 and have a Learning Difficulty Assessment.

We will also provide apprentices, where appropriate, with Learning Support and exceptional Learning Support (see paragraphs 229 to 235) and/or enhanced funding.

### **Enhanced funding for apprentices aged 19 to 23**

152. Eligible individuals who have not been available to enter learning before their 19th birthday due to a reason beyond their control will be funded at the fully-funded 19 to 23 rate as long as they start an Apprenticeship before their 24th birthday.
153. Examples of reasons are:
- disability
  - ill health
  - pregnancy
  - a custodial sentence
  - remanded in custody
  - being a carer
  - significant language difficulties (not ESOL)
  - the result of a care order, and
  - being detained under the Mental Health Act

154. This is not a full list and you must contact your relationship manager if you are not sure whether the reason is valid.
155. An apprentice would not be entitled to enhanced funding if, since leaving full-time compulsory education and the proposed start date of their Apprenticeship, they have:
- 155.1. not been living in England
  - 155.2. been in education, either in a school sixth form, a further education college or training organisation, or
  - 155.3. been on Entry to Employment (E2E), work-based learning, Train to Gain or an Apprenticeship.
156. They will also not be entitled to enhanced funding if, since their 19th birthday there has been a period of at least six months in which the reasons listed in paragraph 153 above have not applied.

## Evidence required

As well as the Learning Agreement we will require evidence of the following.

Paragraph 123.2 – If the working hours of the apprentice vary from week to week, you must make sure that you meet the minimum length of the framework as shown in the funding rules. This includes both increases and reductions in hours where you will extend or reduce the minimum length as necessary. You must not change the planned end date field of the ILR but this alteration will be reflected in the learning actual end date field of the ILR.

Paragraph 133 – If no formal teaching or learning is taking place and the apprentice is involved in workplace practice, a self-declaration made by the apprentice is one example of what we will accept as evidence of being in learning.

Paragraph 136– For a break in learning, the apprentice’s Learning Agreement must show previous learning. For apprentices that transfer, documents that show the time they have already spent on the Apprenticeship and that the total length will meet the minimum requirements.



## Traineeships

The Traineeship programme started on 1 August 2013. It gives providers and employers the freedom and flexibility to bring together elements (as described in paragraph 174 below) to create a programme of learning tailored to each young person's needs.

The Traineeship programme improves the range of high-quality options available for young people, particularly those who would not otherwise be in education, employment or training.

This section applies to:

- Traineeships for 16- to 18-year-olds delivered by providers who do not have a funding agreement with the Education Funding Agency (EFA), but have a funding agreement with us for 16 to 18 Apprenticeships (see note 6); and
- Traineeships for 19- to 23-year-olds.

The funding rules for Traineeships for 16- to 18-year-olds are based on the Education Funding Agency's (EFA's) funding method. This method is described in the [EFA's Funding guidance for young people 2013/14; Funding Rates and formula document](#).

If you are a delivering Traineeships for 16- to 18-year-olds, you must read these rules together with three EFA guidance documents – the [EFA's Funding guidance for young people 2013/14](#), [Funding regulations and Rates and formula](#) documents, and the [16-19 Bursary Fund Guide for 2013/14](#).

Traineeships for 19- to 23-year-olds will be funded through our 2013/2014 funding system and our funding rules.

All providers delivering Traineeships funded by us should read these rules together with the [Traineeships Framework for Delivery document](#) and the [ILR Provider support manual](#).

### Provider eligibility and contracting

157. In 2013/2014, you are only eligible to deliver Traineeships if you have an Ofsted inspection grade of Outstanding (Grade 1) or Good (Grade 2).

158. If you have an Ofsted grade of either 1 or 2, but you are 'under notice' from either us or the EFA for any reason, you will not be eligible to

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Note 6: These will be referred to as Traineeships for 16- to 18-year-olds.

deliver Traineeships in 2013/2014. This includes Notices to Improve issued by the EFA and Notices of Concern or Notices of Breach issued by us. These notices are issued for the following.

158.1. Financial Health

158.2. Financial Management and Control

158.3. Failure to meet our post-19 Minimum Levels of Performance threshold

158.4. An Ofsted Overall Effectiveness grade 4 (Inadequate).

### Traineeships for 16- to 18-year-olds

159. These funding rules apply if you do not hold a funding agreement with the EFA but you have a funding agreement with us for 16 to 18 Apprenticeships.

160. If you have a funding agreement with the EFA and a 16 to 18 Apprenticeship funding agreement with us, you will receive funding for Traineeships through your funding agreement with the EFA and these rules do not apply to you. In this case, see the EFA's funding guidance.

161. If you do not have a funding agreement with the EFA, but you have a funding agreement with us for 16 to 18 Apprenticeships, we will allocate extra funding for Traineeships and you will receive funding for Traineeships through us using the EFA's funding-per-student method based on hours (see note 7). This will make sure that all providers delivering Traineeships to 16- to 18-year-olds have access to the same offer and receive equal funding.

162. You must not use your 16 to 18 Apprenticeship budget to deliver Traineeships.

163. You must use your Traineeship budget only for delivering Traineeships. We will monitor this through our performance management approach.

164. If you need a change to your Traineeship budget, contact your relationship manager.

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Note 7: EFA's funding-per-student method is based on the total qualification and non-qualification hours that should be recorded in the Individualised Learner Record (ILR). It is not based on the value of the individual qualifications that a learner follows. Please see Annex B to the [EFA's Funding guidance for young people 2013/14; Funding regulations](#).

## Traineeships for 16- to 18-year-olds and for 19- to 23-year-olds

165. If you are a lead provider with a funding agreement to deliver Traineeships, you can subcontract Traineeship provision to subcontractors declared on your subcontractor declaration form as of 1 June 2013. However, under the Traineeship programme, eligible lead providers must not subcontract to a provider with an Ofsted grade of Inadequate or a provider under notice from either us or the EFA for any reason.
166. If you are a lead provider and want to enter into a new subcontracting agreement for Traineeships, the provider must have an existing Ofsted grade of Outstanding (Grade 1) or Good (Grade 2). If your subcontracting arrangements change during the year you must update your subcontractor declaration form. Please see paragraphs 400 to 433 for more information on the subcontracting rules.

## Learner eligibility

### Traineeships for 16- to 18-year-olds

167. To be eligible for funding for a Traineeship, a young person must meet the EFA's residency requirements as set out in paragraphs 20 to 37 of the [EFA's Funding guidance for young people 2013/14; Funding regulations document](#).
168. The young person must also be:
- 168.1. aged 16 to 18 (see note 8) and have not yet achieved a full level-3 qualification or equivalent (such as two A-levels); or
  - 168.2. aged 16 or over, but under 25, and have a Learning Difficulty Assessment (LDA).

### Traineeships for 19- to 23-year-olds

169. To be eligible for funding for a Traineeship, a young person must meet our residency requirements as set out in Annex 1.
170. The young person must also:
- 170.1. be aged 19 to 23 at the start of the Traineeship; and
  - 170.2. not have achieved a full level-2 qualification or above.

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Note 8: A 16- to 18-year-old learner is any learner who is aged 16, 17 or 18 on 31 August in the relevant funding year.

## All individuals

171. To be eligible for funding for a Traineeship, all individuals must:

- 171.1. be unemployed (see note 9) at the start of the Traineeship;
- 171.2. have little work experience and be focused on work or the prospect of it; and
- 171.3. have been assessed by the provider as having a reasonable chance of being ready for employment or an Apprenticeship or a full-time study programme (for 16- to 18-year-olds only) within six months of starting their Traineeship. You must record this in the Learning Agreement.

172. All learners will be fully funded for all of their Traineeship programme.

173. An individual is not eligible to start a Traineeship if they are:

- 173.1. ready to start an Apprenticeship;
- 173.2. ready to enter work; or
- 173.3. employed (see note 10).

## Traineeship core elements

174. A Traineeship must include the following elements.

- 174.1. Work placement
- 174.2. Work-preparation training
- 174.3. English and maths where necessary (see paragraphs 192 to 196 below).

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Note 9: For the purposes of eligibility for full funding for a Traineeship, learners who are receiving Universal Credit, and are in the Work Preparation Group or the Work Focused Interview Group, are considered to be 'unemployed' if they are earning less than 16 times the National Minimum Wage each week.

Note 10: For the purposes of Traineeships, 'employed' is defined as an individual who has a contract of employment. However, the individual is not classified as employed if they earn less than 16 times the National Minimum Wage each week, or less than £330 a month.

## Work placement

Work placements provided as part of the Traineeship programme are expected to be high quality, substantial and meaningful, enable the trainee to develop workplace skills, and provide a real employment experience.

This means that a work placement must be long enough to allow for the development of new skills and behaviours.

175. The maximum duration for a Traineeship is six months. This must include a work placement for at least six weeks and no longer than five months. The work placement must be completed within the period of the Traineeship.
176. For learners on a state benefit related to their unemployment, the Department for Work and Pensions (DWP) benefit rules state that work placements must be for six to eight weeks in a row. These rules also apply to work placements for Traineeships.
177. For learners not on a state benefit related to unemployment, the work placement does not have to be limited to eight weeks, and the weeks do not need to be in a row.
178. In some cases, such as when a learner is doing their work placement in a small or medium-sized business, it may be appropriate for them to have a number of separate work placements in different organisations totalling at least six weeks. Although more than one employer may provide a work placement, a learner on a Traineeship must spend at least two weeks with a single employer.
179. The work placement must take place with an employer in a workplace setting. Simulated work placements, such as in workshops within a college's or training organisation's premises, may form a helpful part of work-preparation training but do not count as work placements for the purposes of Traineeships. We expect the lead employer to be identified before a young person starts a Traineeship.
180. Learners must be offered an interview with their work-placement employers at the end of each placement. This can be:
  - 180.1. feedback and a formal interview for a job or Apprenticeship vacancy; or
  - 180.2. an exit interview, written feedback and evidence of their time and activities during the placement.

181. If you are delivering Traineeships to 16- to 18-year-olds, you must record the work placement in the ILR as the core aim in a learner's study programme.

## Work-placement funding and achievement

### Traineeships for 16- to 18-year-olds

182. You must record the planned hours for a learner in the Individualised Learner Record (ILR). This covers all elements of the Traineeship including the flexible elements (see paragraphs 197 to 198). Please note that learners will normally be funded as a part-time study programme based on the planned hours entered on the appropriate funding rate band. You can find more details of the EFA's national funding rates in paragraph 5 of the [EFA's Funding guidance for young people 2013/14: Rates and formula document](#).

### Traineeships for 19- to 23-year-olds

183. The work-placement funding rates have been based on the provider's costs of involving employers, setting up work placements, carrying out monitoring and mentoring visits, and supporting exit interviews.
184. Work placements will be funded according to the appropriate funding band that relates to the number of hours an individual spends on a work placement.
185. The minimum number of hours a learner must spend on a work placement is 100 hours.
186. To allow flexibility in setting up work placements we have assigned three rates based on the hours spent on a placement. These rates are listed on LARS.
187. Funding arrangements for the work placement will be the same as those for other learning aims funded through the Adult Skills Budget. Therefore the achievement element of the work placement's funding rate will be 20%.
188. For a learner to have achieved the work-placement element they must have:
- 188.1. progressed to an eligible job (see notes 11 and 12); or
  - 188.2. progressed to an Apprenticeship.

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Note 11: The learner must leave, progress and be recorded as moving to one of the positive destinations within the ILR for the current year in which the learner leaves learning.

Note 12: For the purpose of achievement of the work placement element, a job must last 16 hours or more a week for at least six weeks in a row.

## Work preparation

189. For Traineeships delivered by 16 to 18 Apprenticeship providers, if the work-preparation training is accredited, it must be offered by an Ofqual-recognised awarding organisation and approved on LARS for 16 to 18 funding in the 2013/2014 academic year. Work preparation for the learner can be non-accredited, in which case it should be recorded in the ILR using the appropriate codes.
190. For 19 to 23 Traineeships, the work-preparation element must consist of regulated provision (including units) on the Qualifications and Credit Framework (QCF) up to and including level 2, be approved by us for funding, and be listed on LARS.
191. For all learners, work-preparation training must be focused on the needs of the learner and may cover aspects such as writing CVs, preparing for interviews, searching for jobs and inter-personal skills.

## English and maths

192. All learners must be assessed for English and maths. Any 16- to 18-year-old learner without a minimum GCSE grade C in English and maths, or 19- to 23-year-old learner without either a minimum GCSE grade C in English and maths, or Functional Skills at Level 2 in English and maths, must be supported to progress.

### Traineeships for 16- to 18-year-olds

193. The learner must be enrolled, based on their needs, on one of the following qualifications in English and maths where necessary.
  - 193.1. GCSE
  - 193.2. Entry-level, level-one or level-2 Functional Skills
  - 193.3. Foundation, intermediate or advanced freestanding maths qualifications
  - 193.4. English for speakers of other languages (ESOL) qualifications
194. If the learner has already achieved a Functional Skills qualification at level 2 they must work towards achieving a GCSE grade C or higher. We also encourage providers to consider offering higher-level provision to those learners who have already achieved a grade C in English or maths, particularly level-3 maths qualifications.

## Traineeships for 19- to 23-year-olds

195. You must follow the English and maths rules set out in paragraphs 60 to 66.
196. The learner must be enrolled, based on their needs, on one or more of the regulated English or ESOL qualifications (see note 13) and maths qualifications set out in paragraphs 45 and 46 of Annex 1.

## Flexible element

197. Alongside the core elements, providers delivering Traineeships for 16- to 18-year-olds can offer other activities (see note 14), including appropriate vocational qualifications approved on the [section 96](#) qualifications list, offered by Ofqual-recognised awarding organisations and approved on LARS for 16 to 18 funding in the 2013/2014 academic year.
198. Alongside the core elements, providers delivering Traineeships for 19-to 23-year-olds can offer other regulated qualifications (including units of QCF qualifications), up to and including level 2, that are approved by us for funding and will help the learner move into work or remove a barrier to them entering work. This will be as part of their learner entitlements as set out in Annex 1.

## Traineeship duration

The aim of the Traineeship programme is to help a young person progress to an Apprenticeship or job.

199. The maximum duration for a Traineeship is six months from the start date of the first element. The work-placement, work-preparation and flexible elements must be completed within this six-month period.

## Traineeships for 16-to 18-year-olds

200. You must record the planned hours for a learner in the Individualised Learner Record (ILR). This covers all elements of the Traineeship, including the flexible elements (see paragraphs 197 to 198). Please note that learners will normally be funded as a part-time study programme,

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Note 13: 19- to 23-year-olds may undertake ESOL provision where they have been assessed as having a need but you must have regard to paragraph 15.3.

Note 14: See [Traineeships Framework for Delivery document](#) page 18, paragraph 62.



based on the planned hours entered on the appropriate funding rate band. You can find more details on the EFA's national funding rates in paragraph 5 of the [EFA's Funding guidance for young people 2013/14; Rates and formula document](#).

201. If, following six months on the Traineeship, the learner has yet to complete all its elements, the work-placement element must be completed, signalling the end of the Traineeship.
202. Where a young person successfully progresses to an Apprenticeship, full-time study or a job that meets the Raising of the Participation Age (RPA) requirements, this will be reflected in the funding method. You can find more details on this in paragraphs 28 and 29 of the [EFA's Funding guidance for young people 2013/14; Rates and formula document](#).

### Traineeships for 19- to 23-year-olds

203. We will continue to fund the English and maths elements of the Traineeship until these learning aims have been completed.
204. Job outcome payments will apply to all learning aims, except the work placement. You can find more details on job outcome payments in paragraphs 71 to 74.

### Individualised Learner Record (ILR)

205. You must complete the standard ILR fields following the rules for recording learners funded through the EFA's 16 to 18 funding model or our 2013/2014 funding model (as appropriate), as set out in the [ILR Specification for 2013/14](#) and the [ILR Provider Support Manual](#).
206. You must record learning delivery monitoring code LDM323 against all learning aims that are delivered as part of a Traineeship, including the work placement. This is recorded in the Learning Delivery Funding and Monitoring fields.
207. English, maths and work-preparation skills must be recorded on the ILR in the usual way using the appropriate learning aim and work reference from LARS.
208. The Employer Reference Number (ERN) for each work-placement employer must be reported on the ILR.

### Traineeships for 16- to 18-year-olds

- 208.1. You must report all Traineeships provision by using code 25 in the Funding Model field.

208.2. You must record the work placement in the ILR, using one of the generic learning aim references for work experience listed in LARS, as the core aim in a learner's study programme.

208.3. If a learner has a Learning Difficulty Assessment (LDA) or an Education, Health and Care Plan (EHCP), you must record this in the Learner Funding and Monitoring fields in the ILR.

### Traineeships for 19- to 23-year-olds

208.4. You must report all Traineeships provision by using code 35 in the Funding Model field.

208.5. You must record the work placement in the ILR using one of the three generic learning aim references representing different sizes of work experience which will be listed in LARS.

208.6. If there are several work placements during the Traineeship, they should not be recorded as separate learning aims. A single learning aim must be recorded to reflect the total number of hours for all the work placements.

### Performance management

209. We will monitor the performance of Traineeships through our established processes. Please see [Performance Management Rules 2013/2014](#) for more details.

210. Ofsted will review Traineeship provision during the course of inspections and will report on quality in their inspection reports. If a Traineeship provider fails to meet the expected standards we will take action in line with our published intervention strategy in the [Provider Risk Assessment and Management document](#).

### Learning Support

#### Traineeships for 16- to 18-year-olds

### Disadvantage funding

Under the EFA's funding method, disadvantage funding (that is, extra funding to support the most disadvantaged learners) is made up of two elements (blocks) – one takes account of a learner's economic deprivation (block 1) and the other takes account of previous achievement in English and maths (block 2). There are more details on disadvantage funding in paragraphs 45 to 55 of the [EFA's Funding guidance for young people 2013/14; Rates and formula document](#).

211. Block 2 funding is not intended to fund English and maths qualifications (that is, GCSEs and Functional Skills) and should be used to fund support for all learners to achieve their learning goals. This includes support for those with low-cost, high-incidence learning difficulties and disabilities.

### High-needs student (HNS) funding

High-needs students (HNS) are those who need more support than normal to get access to, progress towards and successfully achieve their learning goals. You can find more details on HNS funding in paragraphs 61 to 64 of the [EFA's Funding guidance for young people 2013/14; Rates and formula document](#). Learners who are aged 16 but under 25 and have an LDA are eligible for EFA funding.

212. If a learner needs more than £6,000 of support costs, you must tell your relationship manager.

213. You must record high-needs students using code ALS1 in the Learner Funding and Monitoring fields in the ILR.

### Traineeships for 19- to 23-year-olds

214. Learners will have access to Learning Support and Exceptional Learning Support as set out in paragraphs 229 to 235.

215. Learning Support must not be claimed for the work-placement element of the Traineeship.

### Learner Support

#### Traineeships for 16- to 18-year-olds

#### 16-19 Bursary fund

Learners who are eligible, or are supported by their provider, will have access to the 16-19 Bursary fund. The 16-19 Bursary fund has two elements – an element for learners in defined vulnerable groups and a discretionary element awarded by providers to young people that best fit the needs and circumstances of their learners. The rules below must be read in conjunction with the EFA's [16-19 Bursary Fund Guide for 2013/14](#).

## Vulnerable-student bursaries

216. Learners in the defined vulnerable groups will be eligible for a bursary of £1,200 if their course lasts for 30 weeks or more. (You should pay a proportionate amount for courses lasting less than 30 weeks a year.)
217. You must identify learners that are eligible for a vulnerable student bursary payment. The defined vulnerable groups are as follows.
- 217.1. Young people who are looked after (in care)
  - 217.2. Young people leaving care
  - 217.3. Young people receiving Income Support or Universal Credit in their own name
  - 217.4. Disabled young people receiving Personal Independence Payments or both Employment and Support Allowance and Disability Living Allowance.
218. You must apply for the funding for learners in the defined vulnerable groups from the Learner Support Service by filling in a Funding Claim form, which you can download from the Department for Education [website](#). You should email this form to the Learner Support Service at [enquiries@efalearnersupport.co.uk](mailto:enquiries@efalearnersupport.co.uk). Once the claim has been approved by the Learner Support Service, you can claim the funding using the Earnings Adjustment Statement.

## Discretionary bursaries

219. You can make discretionary bursary awards to learners in ways that best meet their needs and circumstances. You should target bursary awards towards those who face the greatest financial barriers, such as high costs of transport, meals, books and equipment.
220. You are free to decide which learners should receive a discretionary bursary award, and the frequency of and conditions for payments for all awards, depending on the requirements of the Equality Act 2010 and the allocated budget. You can claim the discretionary bursary award using the Earnings Adjustment Statement.

## Care to Learn

221. Care to Learn helps with the costs of childcare to help young parents under the age of 20 who may not otherwise be able to complete their education. Learners must apply for Care to Learn in each academic year to continue to receive support.

222. You can find more details on the Care to Learn Scheme on the Department for Education's [website](#).

### Traineeships for 19- to 23-year-olds

#### Discretionary Learner Support

223. Learners will have access to Discretionary Learner Support (DLS), in line with the DLS funding rules, where the provider has an allocation and the learner meets the eligibility criteria. You can find more information on DLS in paragraphs 309 to 318.

224. Learners will have access to DLS for the work-placement element of their Traineeship, except for providing necessary safety equipment and the like which should be provided by the employer, Jobcentre Plus or the Department for Work and Pensions (DWP).

225. As stated in paragraph 312.3, you must not use DLS if the learner is already receiving help from Jobcentre Plus with travel or childcare costs.

#### Evidence required

As well as the Learning Agreement we will require evidence of the following.

Paragraph 180.1 - Evidence of a formal interview and feedback.

Paragraph 180.2 - Evidence of an exit interview, written feedback, and evidence of the time spent on, and activities performed during, work placements.

## Learners with learning difficulties or disabilities (LLDD learners)

Investing in further education (FE) and skills training for learners with learning difficulties or disabilities (LLDD learners) is an important part of the support that the Government provides to disabled people. This means making sure the right level of support is available to make sure barriers to education and training are removed and learners can make the most of their potential.

We will fund LLDD learners as set out in the Apprenticeships, Skills, Children and Learning Act 2009 (but see note 15 below). That Act states that we are responsible for:

‘Securing the provision for adults who:

- are aged 19 and over, and under 25, who are not subject to a learning difficulty assessment or education, health and care plan (see note 16), or
- are aged 25 and over and who self-declare they have a learning difficulty or disability.’

For details of the funding we provide for apprentices with learning difficulties or disabilities, see page 38.

226. If a learner has a Learning Difficulty Assessment (LDA) or an Education, Health and Care Plan (EHCP), you must record this in the learner funding and monitoring fields in the ILR.

227. See the detailed guidance on the Information Authority’s [website](#) about recording continuing low-cost learners (with Additional Learning Support costs below £5,500 in 2012/2013) on the ILR of learners who have an LDA. Such learners were funded by the Skills Funding Agency in 2012/2013 and from 1 August 2013 will be funded by the Education Funding Agency (EFA).

228. Learners with learning difficulties or disabilities may have their personalised learning programme created from provision that is non-regulated if there is no other suitable alternative within a regulated framework.

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Note 15: The exception is continuing learners aged 19 to 24 who do not have an LDA and who need more than £5,500 Additional Learning Support (in 2012/2013), which the EFA will continue to fund on our behalf until the learner’s expected end date on their ILR or 31 July 2014, whichever is sooner.

Note 16: The EFA is responsible for funding provision for students aged 19 to 24 who have a Learning Difficulty Assessment or an Education, Health and Care Plan.

## Learning Support (LS)

Learning Support (LS) is aimed at enabling you to work flexibly and provide support activity to meet the learning needs of your learners. This will enable these learners to achieve their learning goal and make the most of their potential. Learning Support funding will also provide funding for colleges, training organisations and voluntary organisations to meet the costs of reasonable adjustments as set out in the Equality Act 2010.

Learners who were funded by the Education Funding Agency and became our responsibility for continuing learning aims will continue to receive Learning Support at the same level.

Learning Support funding is now part of the Adult Skills Budget.

Learners funded by Loans can get Learning Support from the Loans Bursary Fund (see paragraphs 369 to 386).

### 229. Learning Support:

229.1. may be used if learning continues past the planned end date and the learner still needs support, and

229.2. must not be used to deal with everyday difficulties not directly associated with a learner's learning on their programme.

230. There are no restrictions on transferring funding between Learning Support and participation funding. However, we can review providers if there is a large increase in the use of Learning Support funding. We would not expect providers to significantly increase their Learning Support funds as part of the Adult Skills Budget.

231. We will review whether your use of Learning Support funds represents good value for money. If we consider that the funding we have provided is significantly more than the cost of the support provided, we may, after consulting you, reduce the amount of funding we pay you.

232. Learning Support will be earned at a fixed monthly rate of £150 if it has been identified on the ILR against an identified learning aim. We expect the total you earn from the monthly rate to be enough to cover your costs. If the cost of you providing support to a learner goes above the total earned from the fixed monthly rate, and you provide evidence of the excess, you will be able to claim for this excess.

233. If you are planning to deliver the learning aim in less than one calendar month you must claim the value of the Learning Support as if it were all excess.

234. You must:

- 234.1. carry out a robust assessment to identify the support the learner needs
- 234.2. agree and record the outcome of your assessment in the Learning Agreement
- 234.3. deliver support to meet the learner's identified needs, and review progress and continuing needs as appropriate
- 234.4. record all outcomes on the Learning Agreement and keep evidence of the assessment of the needs, and
- 234.5. report on the ILR that a learner has a learning support need associated with an identified learning aim, by entering code LSF1 in the learning delivery funding and monitoring fields.

### **Exceptional Learning Support (eLS) claims above £19,000**

Some learners may need significant levels of support to start or continue learning. These learners are unlikely to be planning to take part in learning without careful consideration of their needs and the ability to meet them, and there will be other agencies involved in their care and support. These learners can get access to exceptional Learning Support if their support costs more than £19,000.

Learners aged 19 to 24 requiring significant levels of support would normally be expected to have a Learning Difficulty Assessment or Education, Health and Care Plan provided by their local authority and therefore would access funding from their local authority unless they are undertaking an Apprenticeship.

Where you are seeking to claim eLS above £19,000 for a learner aged 19 to 24 who does not have a Learning Difficulty Assessment or Education, Health and Care Plan or is not undertaking an Apprenticeship you will have to confirm why the learner does not have a Learning Difficulty Assessment or Education Health and Care Plan.

235. You must:

- 235.1. first get agreement from your relationship manager for learners whose support costs more than £19,000 in a funding year, by filling in the [Learning Support costs form](#).
- 235.2. get further agreement if the learner's support needs change significantly during their learning, and



235.3. make payment claims for learners' eLS in 2012/2013 by  
15 November 2013.

## Evidence required

As well as the Learning Agreement we will require evidence of the following.

Paragraph 232 – When you claim Learning Support over the fixed monthly rate you must be able to provide evidence of the total expenditure on the learner, and demonstrate why the cost of the support is greater than the total earned from the fixed monthly rate. You must explain why you have claimed the amount you have, which would be linked to the learner's assessment and planned Learning Support claim. You must only claim amounts for your costs of providing the support to the learner and not include any indirect costs or overheads.

Paragraph 234 – Evidence that the Learning Support claimed through the ILR is backed up by an assessment, that there is a planned programme of support included in the Learning Agreement, and there is evidence of the planned programme for providing additional support included in the Learning Agreement.

Paragraph 3 in the box on page 55 – Evidence of why the learner does not have a Learning Difficulty Assessment or Education, Health and Care Plan. This should be a letter or email from the learner's local authority stating that the learner does not have an LDA or EHCP as they do not meet the criteria.

Paragraph 235 – A copy of the agreement between you and your relationship manager to fund eLS. This could be an email from your relationship manager on our behalf.

## Section 3 - Programmes

### European Social Fund (ESF)

All providers that receive ESF funding from us for their provision, or where we use the mainstream funding we allocate to them as ESF match funding, must keep to these rules. This document provides important information to support the ESF, particularly if the rules are different from or apply as well as our normal rules. You should read these fully as well as:

- the offer pack or tender specification the contract was awarded to deliver, and
- the funding agreement, ESF rules and regulations applied by the European Social Fund Division (ESFD) in how they relate to the ESF programme in England. The [ESF Manual](#) will be updated during the life of the programme and we are responsible for telling you about any revisions.

These documents form part of the terms and conditions of your funding agreement.

In line with the ESF Manual, we refer to individuals who are supported through ESF activity using our funding as 'participants'.

#### ESF match funding

236. As an ESF Co-financing Organisation, we must identify public funding from our own budgets to be match funding in our ESF programme (that is, an amount of our money that is equal to the value of the ESF grant we get from the European Commission). We find this match funding from our mainstream budgets, such as for Apprenticeships, Adult Skills Budget and 16-18 Apprenticeships. When we identify funds as match funding, the learning activity and its associated funding become part of the ESF programme, so they are also governed by the requirements of the ESF programme.
237. For the current 2007-2013 ESF programme, we need to identify £1.5 billion of match funding. We expect an overlap in match-funding requirements in 2014 and 2015, when our mainstream programmes will be eligible as a source of match funding for both the 2007-2013 and the 2014-2020 ESF programmes.
238. If you are a mainstream provider, you need to understand the requirements of the ESF programme. At the start of each academic year, and as described in your contract, we will write to all providers with mainstream provision that could be used as a source of ESF match

funding. If you have been used as a source of ESF match funding, we will confirm this also.

239. You, your subcontractors and other third-party organisations must not use our mainstream programme funds as match funding for your own projects through other European Union funds (for example, European Regional Development Fund, European Integration Fund and so on).

### **ESF provision**

240. For stand-alone ESF provision, the maximum funding available is set out in the main funding agreement.
241. Funding for delivery is triggered by the ILR returns and when you fill in a delivery statement using the provider gateway. The funding agreement sets out what needs to be delivered, how payment is triggered for each of them and the associated rules on providing evidence.

### **Eligibility**

242. ESF rules and regulations say that, to be eligible for ESF help, participants must be 'ordinarily resident' (see paragraph 20 in Annex 1) in the UK and be able to work in the UK.
243. Workers who have come to the UK with valid work permits are eligible for ESF co-financing help without the normal three-year waiting period.
244. Asylum seekers eligible for our funding as shown in Annex 1 will not usually be eligible for ESF co-financing funding as they will not have the right to work in the UK.
245. To be supported by ESF from us, all participants have to be eligible for our funding first.
246. There is specific guidance on the eligibility of projects in the main terms and conditions document which takes priority over this document if there is any difference between the two. However, the following sections give details on some areas which apply to all ESF we provide.
247. You need to receive documentary evidence of a participant's eligibility before they start the programme.

### **Geographical eligibility**

248. Wales, Scotland and Northern Ireland all have separate ESF programmes. Individuals living outside England are not eligible to be supported through our ESF programme.

249. For activity funded from the Convergence Objective, or the ring-fenced phasing-in funding (in areas within the Competitiveness Object), the activities must take place within the appropriate Convergence (Cornwall and the Isles of Scilly) or phasing-in area (Merseyside or South Yorkshire).
250. Beyond these rules, geographical eligibility for a particular ESF project will depend on the rules of the contract.
251. Eligibility for ESF is decided by referring to a participant's status on the day they begin their programme of learning. If a participant moves on or changes to another ESF-funded project, their eligibility is based on their status when they start the new programme of learning.

### Activity

252. The eligible activity under ESF provision will be governed by the rules of the offer pack or tender specification the contract was awarded to deliver. This will be explained in the contract.

### Age

253. Participants in ESF are defined by their actual age at the time of starting their programme of learning. You must refer to the funding agreement for the age range eligible for a specific contract.

### Participants starting on activity

254. All participants starting on ESF-funded activity must carry out individual assessment and planning activities before they start the main activity or qualification.
255. This activity will include information, advice and guidance (IAG), basic skills assessments, assessments of ability, learning plans and inductions.
256. It is essential that you identify any gaps in the skills of participants and that you either put in place provision to support those participants to improve or refer them to other appropriate provision.
257. You must assess all participants before or as soon as they enter ESF provision. You must make sure that the information gained as a result of the assessment appropriately identifies the needs of the participant. The results of the assessment must include details of previous competence and must be recorded and used to provide an individual learning plan (ILP) as part of the Learning Agreement.

258. The Learning Agreement must contain details of what will be delivered, how it will be delivered (for example, by group work, workbook and so on), and the way it will be delivered taking account of the participant's learning styles and abilities. The Learning Agreement must be signed by the participant at the start of the learning activity.
259. All participants must receive a thorough induction that covers, at least, the following.
- 259.1. Programme content, delivery and assessment arrangements, including your contact details
  - 259.2. How the programme is funded through ESF
  - 259.3. Equality and diversity
  - 259.4. Health and safety
  - 259.5. Disciplinary, appeal and grievance procedures
  - 259.6. Terms and conditions of learning.

### **Learning Support, exceptional Learning Support and learner support**

260. ESF funding agreements have the same support facilities as mainstream funding agreements. However, the cost of these services will be built into the unit price of the deliverables used for the contract.

### **Closing the project**

261. You must complete all services by the date shown in the funding agreement and have all evidence of achievement in place by the final return, no later than three months after the end date. We will close your contract in line with the final version of the funding agreement.
262. You must keep all original documentary evidence relating to invoices, management information and all other documents needed to prove you have delivered the services until at least 31 December 2022. You must make a declaration showing where you will store these documents and who will be responsible for looking after them.
263. All data on participants must be accurate and up to date, and you must correct any mistakes. Where necessary, all delivery statements for the services must be completed and processed correctly on the provider gateway. We will allow three months after the end date of the services set out in the funding agreement for you to provide correct data.

264. We will take account of the outcomes of audits when we carry out financial reconciliation of services (that is, when we compare your earnings and our payments to you). We will make sure that we correct any mistakes found from the audits or all necessary action has been taken. This information will have been provided within the provider financial assurance (PFA) report that we sent out after the audit. You need to be aware that the services may still be audited by the Department for Work and Pensions (DWP) or the European Commission (EC) after the delivery has finished.
265. As required by the funding agreement, you must provide a final evaluation of the services. The evaluation will include:
- 265.1. an overview of the service delivered
  - 265.2. publicity and communications carried out for the services
  - 265.3. the effect on the cross-cutting themes of equal opportunities (breakdown of participants), sustainability and health (London only)
  - 265.4. how the services fitted in with local needs
  - 265.5. value for money
  - 265.6. lessons learnt, and
  - 265.7. a progression and exit strategy.

### **Priority 1, 4 and people who do not work**

266. The eligible groups of individuals who are not in work will be set out in the main funding agreement.
267. For the purposes of ESF, 'unemployed' means a participant is:
- 267.1. either not in paid employment or is in paid employment working fewer than 16 hours a week and is signing on reporting their earnings to Jobcentre Plus
  - 267.2. available to start work, and
  - 267.3. looking for work, or waiting to start a job that they have already got.
268. For the purposes of ESF, 'economically inactive' means that a participant is not employed but does not meet the criteria for unemployment. People who are economically inactive must be:
- 268.1. of working age

- 268.2. not employed
  - 268.3. not self-employed, and
  - 268.4. not actively looking for work.
269. For the purposes of ESF, 'full-time education or training' means a participant is:
- 269.1. in full-time education either in a school, a further education institution or a higher education institution
  - 269.2. in full-time workplace learning (including Apprenticeships, other workplace learning or foundation learning), or
  - 269.3. in other education or training (including independent colleges or training centres or receiving training or education but not currently employed).
270. For the purposes of ESF, 'full-time' refers to education or training that is at least 12 guided learning hours a week for at least 10 weeks. Part-time education or training is education or training that does not meet these minimum time rules.
271. For the purposes of ESF, 'not in education, employment or training (NEET)' means that a participant is aged 14 to 19 and not in:
- 271.1. full-time education either in a school, a further education institution or a higher education institution
  - 271.2. workplace learning (including Apprenticeships)
  - 271.3. other education or training (including independent colleges or training centres or receiving training or part-time education but not currently employed), or
  - 271.4. employment.
272. For the purposes of ESF, 'at risk of becoming NEET' means that a participant is aged 14 to 19 and has been identified as being at risk of becoming NEET by a referral agency such as the Connexions services or the youth offending team.

## **Priority 2, 5 and people who are employed**

273. Participants supported by priority 2 or 5 ESF provision must be employed, unless we state otherwise in the contract.
274. For the purposes of ESF, 'employed' means that the participant:

274.1. has a contract of employment under which they must carry out work for the hours shown in the contract and for which they are paid, and

274.2. is employed for eight hours a week or more (you must assess participants with an irregular working pattern using a four-week average).

275. This includes:

275.1. employees (people who work for a company and have their National Insurance contributions paid directly from their wages), and

275.2. self-employed people (someone who works for themselves and generally pays their National Insurance contributions themselves) – self-employed participants must be registered with HM Revenue & Customs as being self-employed.

276. Priority 2 and 5 can support participants who are under consultation or notice of redundancy, have been told by their employer that they are likely to be directly affected by downsizing or company closure locally, or have recently been made unemployed. Support for those at risk of redundancy must not involve wage subsidies but may include eligible activities such as retraining, increasing their skills and careers advice.

### **Publicity, cross-cutting themes and evaluation**

277. You must keep to our identity rules on all promotional materials or activities relating to delivering the contract, as set out in our identity guidelines website.

278. You and your subcontractors must keep to the ESF publicity rules, which are summarised below.

279. If we declare mainstream activity as match funding for ESF, you must also keep to the ESF publicity rules if you are a mainstream provider.

280. You must display the ESF logo and references to financial support from the ESF when ESF opportunities, activities and achievements are described or publicised. This includes but is not restricted to displaying them on:

280.1. all information and publicity materials, including websites, communications sent over the internet, correspondence and literature used by participants

280.2. advertisements, press releases and other media-targeted materials, and



- 280.3. all documents that are used with participants and partners, for example, enrolment documents, individual learning plans (ILPs), attendance records and internal certificates.
281. It is essential that you display any ESF plaques prominently at your and subcontractors' premises. You can get these plaques from us. If you need extra plaques, you should contact your relationship manager.
282. You must publicise your ESF-funded activity as widely as possible. At the very least, this includes:
- 282.1. preparing a communications plan at the start of the contract to make sure that approved marketing and publicity activity is distributed throughout the project to tell the public and others about the launch, ongoing successes and end-of-contract achievements, and
  - 282.2. using the ESF publicity toolkit to generate quality press releases, case studies and carry out media interviews to make sure you keep to these requirements.
283. At the monitoring meetings you must tell your relationship manager about all planned and actual publicity activity.
284. In your evaluation reports, you must provide an update of activity against the communication plan.
285. For more guidance, you should refer to the funding agreement and the ESF in England [website](#).

### **Equal opportunities**

286. You must make sure that you actively promote equal opportunities in line with your public duty by law and you must prevent any discrimination. You can find guidance on the ESF in England website and in our Single Equality Scheme.
287. You must have an equal opportunities policy in place. We expect you to use the equal opportunities policy evaluation toolkit available on the [ESF Works website](#).
288. You must take part in activities to keep a record of, review and improve your current equal opportunities practices and we will monitor your delivery arrangements as part of the arrangements for managing contracts.

## **Sustainable development**

289. You must have a sustainable development policy in place (see the ESF in England website). We expect you to use the sustainable development policy evaluation toolkit and the sustainability resources available on the ESF in England website. You need to record any actions arising in a strategy document or action plan and we will measure your progress towards these actions at monitoring visits. You should measure your performance against peer organisations to further improve performance and so you can share best practice.
290. You must also keep to all relevant environmental laws and regulations relating to delivering the contract.

## **Health (London only)**

291. If you are delivering ESF provision under the London Co-financing Plan, you need to tackle the regional cross-cutting theme of health.
292. The Greater London Authority has developed a health performance management framework (PMF) and accompanying guidance to support providers of London's ESF to report on progress with this theme. You can find the PMF, guidance and appendices from the health cross-cutting theme webpage on the Greater London Authority's website.
293. You must complete the PMF within the first three months of starting to deliver your project and send it to us to review. We will monitor you against your self-assessment each year to identify progress and discuss further development. In particular, you must meet your responsibilities under this theme to:
- 293.1. complete the PMF and action plan
  - 293.2. carry out ongoing monitoring against the PMF assessment, and
  - 293.3. evaluate the effect.

## **Provision supporting NEETs, unemployed and redundancy (14 to 19)**

294. The rules set out in this document apply to all funding agreements awarded to deliver provision unless we say otherwise in the contract.

## **Evaluation and annual reporting**

295. To help you report on the services, you must, if we ask, be able to give us examples of:

- 295.1. measures taken to provide information on and publicise the services
  - 295.2. putting the cross-cutting themes of equal opportunities and sustainable development into practice, and
  - 295.3. case studies of good-practice projects.
296. You must fill in a project evaluation report. This report will cover the number of participants helped, their backgrounds, the support measures provided and the qualifications gained. The report must also provide, but not be limited to, an overview of the complete project, details on the sustainability of the project after ESF funding ends and include 'good news' stories and case studies.
297. You must co-operate with any programme-level evaluation projects led by the DWP's ESF Division or their appointed consultants who will contact you direct.

### State Aid

298. State Aid involves using funding from a public body to provide support in a commercial enterprise that might distort competition and affect trade in the European Union. ESF learning provision in priority 2 and priority 5 delivered to meet the training needs of the employer, as opposed to those of an individual employee, could be considered to be State Aid and could be recovered from the employer. To avoid recovery, you must keep to EC State Aid regulations for 'de minimis' support and training aid.
299. Under de minimis rules for State Aid, an enterprise must not receive more than €200,000 financial support from public or publicly funded sources in a rolling period of three financial years. You must show that you have checked the level of financial support from public sources to any enterprise which benefits from the services delivered under ESF contracts.
300. You must do this when an individual recruited through a commercial enterprise receives training or support that is not freely available to all – in other words, is not covered by an entitlement to funding from us. Any ESF provision that provides support to employers or their employees, including any learning delivered above the statutory entitlement of level 2, must be declared as a State Aid under de minimis rules.
301. If the State Aid given to an enterprise goes over the €200,000 limit for de minimis through ESF provision, you can deliver ESF provision using training aid, where the enterprise makes a contribution to the cost of the training.

## Audit

302. If you are chosen as part of an ESF audit sample – for either ESF or match provision – you must meet our requests to supply evidence to support ESF or match activity and, where appropriate, to allow external ESF auditors into your premises.

## Evidence required

As well as the Learning Agreement we will require evidence of the following.

See paragraph 242 - Evidence of an assessment that the participant is both living legally in the UK and able to take paid employment in a EU Member State, plus confirmation by the participant that the information supplied and recorded is correct and accurate.

Paragraph 243 - Evidence of an assessment that the participant coming to the UK with a valid work permit is eligible, plus confirmation by the participant that the information supplied and recorded is correct and accurate.

Paragraph 247 - Evidence of an assessment that the participant is ordinarily resident in England and meets the geographical eligibility for the ESF contract, plus confirmation by the participant that the information supplied and recorded is correct and accurate.

Paragraph 251 - Evidence of an assessment of the participant's employment status, plus confirmation by the participant that the information supplied and recorded is correct and accurate.

Paragraph 253 – Evidence of an assessment showing that the participant is of an eligible age for the ESF contract plus confirmation from the participant that the information in the assessment is correct and accurate.

Paragraph 257 to 259 – Evidence to prove you have achieved your project outputs and outcomes (planned targets) against the main funding milestones and elements, as shown in the ESF contract delivery annexes.

Paragraph 261 - Evidence to prove you have achieved your project outputs and outcomes (planned targets) against the main funding milestones and elements, as shown in the ESF contract delivery annexes.

Paragraph 262 – A signed declaration at the end of the contract term that states the arrangements in place to store and retrieve all documents needed to check the ESF provision delivered by you and your subcontractors until at least 31 December 2022.

Paragraph 263 - Complete and correct ILR data and delivery statements sent to us within three months of the end of the project.

Paragraph 265 - A standard project closure report citing project records, narrative reports, general knowledge and experience of delivering the project. A separate participant data statistics report based on data gathered from participant records.

Paragraph 266 - You must refer to your funding agreement for specific conditions.

Paragraph 280 - Copies of documents describing, recording or publicising ESF projects which display the ESF logo and a statement that the project activity is part-financed by the European Social Fund.

Paragraph 281 - ESF plaques must be visible to all staff and participants in a prominent place within your premises.

Paragraph 282 - Evidence that you have produced and published a communications plan and publicity materials that keep to ESF publicity and logo requirements.

Paragraph 283 - Correspondence with us about all planned and actual publicity activity at monitoring meetings.

Paragraph 284 - Project evaluation reports and supporting documents including updates to ESF communication plans.

Paragraph 286 - Evidence that you have consulted both the ESF Gender Equality and Equal Opportunities Mainstreaming Plan (from the ESF in England website) and our Single Equality Scheme when actively promoting equal opportunities.

Paragraph 287 - Your equal opportunities policy produced using the equal opportunities policy evaluation toolkit from the ESF Works website.

Paragraph 288 - Evidence to show how you have documented, reviewed and improved your equal opportunities policy and the monitoring of delivery arrangements by our relationship manager.

Paragraph 289 - Your sustainable development policy produced using the sustainable development policy evaluation toolkit from the ESF Works website.

Paragraph 293 - Your completed health performance management framework and action plan, produced using the guidance from the Greater London Authority's website. This applies if you are delivering provision within the London Co-financing Plan Region only.

Paragraph 296 - Project evaluation reports and supporting documents.

Paragraph 299 - You must be able to prove that you have regularly checked your financial support from public sources, if your employees are potential participants under an ESF contract. You must get a completed de minimis declaration form from affected enterprises each financial year, to make sure each enterprise does not break the €200,000 limit. You can get template forms from your relationship manager.

Paragraph 301 - Where training aid is applied, you must get a completed ESF training aid declaration form from each affected enterprise (this is different and separate from the declaration.) Declarations from enterprises must show the training activity carried out, the agreed participant outcomes and the intended training dates. You can get template forms from your relationship manager.

## Community Learning (CL)

Community Learning includes a range of community-based and outreach learning opportunities, primarily managed and delivered by local authorities and general further education colleges. This broad range of provision, usually non-regulated, is to bring together adults (often of different ages and backgrounds) by helping them to pursue an interest, address a need, gain a new skill, become healthier, or learn how to better support their children.

Community Learning funding will now be regarded as a contribution to locally owned community networks with clear strategic plans, priorities and delivery objectives, and measurable learner outcomes, the ambitions of which will be achieved only by getting extra funding over the public funding set out on page 13 of the [‘Skills Funding Statement 2012-2015’](#)

The purpose of our funding contribution is to enable providers to deliver a truly local offer that conforms to the objectives set out on page 14 of [‘New Challenges, New Chances’](#) December 2011.

In particular, the funding must:

- maximise access to community learning for adults, bringing new opportunities and improving lives, whatever people’s circumstances
- promote social renewal by bringing local communities together to experience the joy of learning and the pride that comes with achievement, and
- maximise the effect community learning has on the social and economic well-being of individuals, families and communities.

### Meeting Community Learning objectives

303. You must have in place a strategy that can demonstrate how, in your geographical area, you have identified and will deliver a relevant balance of the objectives set out in [‘New Challenges, New Chances’](#). Within your strategy you must:

303.1. provide evidence of how you will work in strong local partnerships to make sure your identified objectives are underpinned by working with and consulting communities, local authorities, Local Enterprise Partnerships and other relevant local stakeholders

303.2. have clear outcomes and appropriate measures capable of being evaluated by your community and local stakeholders

303.3. develop and put in place a robust financial strategy that adds to your Community Learning allocation, and

- 303.4. make sure that all adult learners funded through our financial contribution meet the eligibility criteria set out at paragraphs 1 to 5 in Annex 1.

## Assessment

304. You must ensure that, where appropriate, learners have access to initial assessment tools or processes, and have signposting to:

304.1. appropriate provision, if their assessment reveals a basic skills need, or

304.2. appropriate and recognised accreditation for those who want it.

## Provision

305. You must:

305.1. encourage and support progression (in its widest sense) with systems in place to signpost learners to further learning as appropriate (but there is no requirement that learners must progress to other learning or achieve accredited outcomes), and

305.2. not use the Community Learning budget to fund courses leading to outcomes otherwise eligible for funding through the Adult Skills Budget (see note 17).

## Data and Claim Returns

The funding rules no longer refer separately to Personal and Community Development Learning (PCDL), Neighbourhood Learning in Deprived Communities (NLDC), Wider Family Learning (WFL) and Family English, Maths and Language (FEML) as their distinct aims are included in the objectives set out in New Challenges, New Chances. However, in 2013/2014, ILR data will still be configured against these four programme elements so that we can monitor and report on take-up and delivery.

306. Each year you must fill in a Funding Claim showing how you have spent your Community Learning funding. (This will be available on our [website](#).)

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Note 17: There are limited exceptions where non-regulated provision is inappropriate.



307. You must collect information (through the Supplementary Learner Record A) for child learners, and return the form to [familyprogrammes@skillsfundingagency.bis.gov.uk](mailto:familyprogrammes@skillsfundingagency.bis.gov.uk).
308. If you cannot return NLDC information through the ILR, you must email the NLDC paper to [nldc.returns@skillsfundingagency.bis.gov.uk](mailto:nldc.returns@skillsfundingagency.bis.gov.uk).

## **Evidence required**

As well as the Learning Agreement we will require evidence of the following.

Paragraph 306 – A filled-in Funding Claim for Community Learning for 2013/2014.

Paragraph 307 – A filled-in Supplementary Learner Record A, giving the number of the child learners involved in family learning programmes in 2013/2014.

Paragraph 308 – A filled-in Neighbourhood Learning in Deprived Communities paper return (if not returning this using electronic ILR).

## Discretionary Learner Support (DLS)

Discretionary Learner Support (DLS) is aimed at supporting learners with a specific financial hardship that prevents them from taking part in learning. Before making an award, you need to identify the learner's specific financial hardship within the following areas.

- 19 or over and in financial hardship
- 20 or over with childcare issues
- 19 or over Residential Access Fund

Learners who are eligible for support are not automatically entitled to it.

### Administration

309. You can use up to 5% of your DLS allocation towards administrative costs. You must not set your bank charges against your DLS allocation.

310. DLS is provided by the Department for Business, Innovation and Skills. The 16-19 Bursary Fund is provided by the Department for Education, and therefore there must be no transfer of funds between the 16-19 Bursary Fund and the 19+ Discretionary Learner Support Fund.

311. You must:

311.1. record and report on allocations for each of the three schemes (DLS will be allocated in the three separate funding schemes – 19+ Hardship, 20+ Childcare, Residential Access Fund) and you can transfer funding between the three schemes

311.2. have in place criteria for how you will administer and distribute your funds which must clearly reflect the principles of equality and diversity and be available to learners and us, if we or they ask

311.3. make sure that learners meet the learner eligibility criteria in Annex 1

311.4. complete the appropriate Learner Support Reason (LSR) codes in the learner funding and monitoring fields in the ILR (not doing this properly will affect future DLS allocations)

311.5. complete a mid-year funding forecast in February

311.6. complete a final claim in October, and

311.7. understand that we will recover any unspent funds and that payment for any provision above your allocation will be at our discretion. This may affect future allocation of DLS funds.

312. You must not use DLS as a means of support if the following apply:

- 312.1. The learner is fully funded by us and as such must not be charged for equipment and facilities so they can complete their learning aim, see paragraph 37 (however, fully funded learners can access DLS for childcare, transport and residential costs)
- 312.2. The learner is eligible but it is more appropriate for them to receive support through learning support for the same purpose
- 312.3. The learner is already receiving help with travel or childcare costs from Jobcentre Plus or a Work Programme provider in connection with pre-employment training. (When you are making decisions about awarding public funds, you must take into account the availability of other financial support for learners. You can find more details in Annex 1)
- 312.4. The learner is in prison or a young offender institution, or has been released on temporary licence (RoTL), for example, on day release
- 312.5. The learner is carrying out a higher education course, waged Apprenticeship or provision with learning aims that are identified as fully funded from other sources
- 312.6. The learner is receiving an income and does not have a financial need. You must not use the funding to pay weekly attendance allowances or achievement and attendance bonuses.

313. Learners taking part in HE access courses will be able to apply for DLS funding as long as the learning aims are funded through the Adult Skills Budget.

### 19+ Hardship

19+ Hardship funding is provided to support vulnerable and disadvantaged learners and to remove barriers to education or training.

314. Types of support include the following. However, you can support learners based on learner needs and local circumstances:

- 314.1. Course-related costs including course trips, books and equipment, support with domestic emergencies and emergency accommodation

- 314.2. Transport – you must not use the fund to make a block contribution to post-16 transport partnerships or routinely fund transport costs that are covered in the local authority’s statutory duty for learners of sixth form age
  - 314.3. Examination fees
  - 314.4. Accreditation fees, professional membership fees and any fees or charges due to external bodies
  - 314.5. Your registration fees
  - 314.6. Support provided to others, or by providing items or services or cash direct to the learner. This can be in the form of a grant or repayable loan. You must decide if conditions should be attached to payments, for example attendance agreements.
315. If an asylum seeker is eligible for provision you may provide learner support in the form of course-related books, equipment or a travel pass. Under no circumstances should you give an asylum seeker learner support in the form of cash.

## 20+ Childcare

20+ Childcare provides targeted childcare support for learners who are at risk of not starting learning, or not continuing learning, as a result of difficulty getting childcare.

316. You can only use childcare funding to pay for childcare with a provider who is registered with Ofsted.
317. Childcare funding must not be:
- 317.1. used to fund informal childcare, such as that provided by a relative
  - 317.2. used by you to set up childcare places or to make a financial contribution to the costs of a crèche, or
  - 317.3. used for 19-year-old learners. Instead you should direct them to the EFA Care to Learn Programme. DLS must not be used to top up childcare payments for those receiving 'care to learn'.

## Residential Access Fund

Residential Access funds provide support to learners receiving specialist provision which involves a residential element or to support learners who are unable to access provision locally. The fund can help learners live in private accommodation or in accommodation you own or manage.

318. You must:

- 318.1. set out clearly the criteria and procedures for considering and agreeing applications for support from your Residential Access funds
- 318.2. make payments to, and on behalf of, learners (the most you can pay each academic year is £4,079 within London and £3,458 outside London), and
- 318.3. pay for travel costs in exceptional circumstances only. You must give priority to learners who need accommodation.

## Learner Support in Apprenticeships

You can claim Learner Support for apprentices and Access to Apprenticeship learners through the Earnings Adjustment Statement. The general principles of Discretionary Learner Support will apply, but the following rules relate specifically to apprentices and Access to Apprenticeship learners.

319. An apprentice or Access to Apprenticeship learner must not contribute towards the cost of learning. It is expected that employed apprentices who have to take part in 'off-the-job' learning will have their expenses paid for by their employer.
320. You must consider that those on Access to Apprenticeships have reasonable expenses met in full if these are needed to overcome barriers to learning.
321. You must get the agreement of your relationship manager if there is any doubt about whether we can refund certain types of expenses. For example, we will not pay the costs of apprentices' meals.
322. You will claim for the costs of expenses for apprentices and Access to Apprenticeship learners we fund. You must claim all costs during the funding year in which they are spent. We will not refund claims to you

which you paid to apprentices and Access to Apprenticeship learners in previous funding years and did not claim within the set timescales.

## **Evidence required**

As well as the Learning Agreement we will require evidence of the following.

Paragraph 311.5 – The mid-year funding forecast.

Paragraph 311.6 – The final claim form.

Paragraph 322 – Evidence of an assessment for each apprentice or Access to Apprenticeship learner, demonstrating hardship and the need for support.

## 24+ Advanced Learning Loans

In 'New Challenges, New Chances' it was confirmed that the Government would introduce 24+ Advanced Learning Loans (Loans) from 2013/2014. The reasoning for this is to help people aged 24 or over carry out level 3 or 4 further education (FE) learning aims or advanced-level or higher-level Apprenticeship frameworks and access the funds they need to gain intermediate and higher-level skills.

323. For learners aged 24 or over when they start their learning, from 2013/2014 our funding for provision at level 3 and 4, and for advanced-level or higher Apprenticeships, will end and be replaced with Loans. This does not apply to:

323.1. trade union representatives studying Trade Union Congress learning aims, and

323.2. ex-military personnel. In this case, we have an agreement with the Ministry of Defence (MoD) to fund ex-military personnel for their first full level-3 qualification. (You can find the full definition of ex-military personnel in Annex 1 paragraphs 56 to 58.)

## Qualifications funded through Loans

324. Loans can be used to fund the following types of publicly funded provision, no matter how the study is carried out (See also note 18 below):

324.1. Programme of A-levels (including AS, A2 and full A-levels)

324.2. Quality Assurance Agency (QAA) Access to HE Diplomas

324.3. Qualifications and Credit Framework (QCF) Certificates at levels 3 and 4

324.4. Qualifications and Credit Framework (QCF) Diplomas at levels 3 and 4

324.5. Advanced-level Apprenticeship framework

324.6. Higher Apprenticeship framework (see note 19 below).

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Note 18: Page 9 of The Skills Funding Statement, December 2012, states that for 'For the 2013/14 academic year onwards, funding above level 4 will be available only for higher Apprenticeships at level 5 and 6'.

Note 19: We do not fund 'prescribed higher education' (for example, a Degree or a Higher National) which is eligible for higher education student support.

325. Loans cannot be used to fund units of qualifications and awards at level 3 and above, or learning delivered through the innovation Code.

### Number of Loans

326. Learners are entitled to up to four Loans, for four learning aims or Apprenticeship frameworks, where each Loan is for a different category of provision as listed in paragraph 324.

327. Learners will take out a Loan for a single learning aim or Apprenticeship framework.

327.1. In the case of AS/A2/A-levels, the learner will make a Loan application for each separate AS/A2/A-level, up to a maximum of four. These applications can be made at the same time or one after the other. A learner can still apply for three more Loans for Apprenticeship frameworks or learning aims that are not AS/A2/A-levels, as long as the provision is taken at different times, as set out within paragraph 330.

328. The ability to access up to four Loans allows for progression. However, there is not a requirement for a learner to be progressing through levels.

329. A learner cannot get a Loan for a learning aim when they have previously completed that type of learning aim, at the same level, through funding from a Loan. The only exception to this is where a learner progresses from a Subsidiary Diploma through to an Extended Diploma at the same level. In this situation, the progression is considered as a single Loan, and the Loan amount is amended through the Change of Circumstance process (see paragraphs 361 to 368 for more information). This change must be reported while the learner is still in learning and you must produce another Learning and Funding Information Letter (see paragraph 339 for more information).

330. If at any one time, a learner is taking more than one learning aim or Apprenticeship framework which is eligible for a Loan, the learner is eligible for only one Loan. The learner would need to get other funding for the other learning aim which is eligible for a Loan. The only exception to this is a programme of up to four AS/A2/A-Levels, where the Loans for each AS/A2/A-level are treated as an entitlement to a single Loan.

331. A learner may pay for their other learning aims, or if the learning aims are up to level 2, they may be eligible for funding from us in line with our funding rules 2013/2014.

332. If higher Apprenticeships include qualifications that are eligible for higher education student support, for example foundation degrees, learners will



be able to make two separate Loan applications for the further education and higher education elements of their higher Apprenticeship.

333. We realise that some learners may need to change learning aims and may need a further Loan to complete their studies and progress successfully. As a result, every learner who has previously withdrawn from a learning aim will be given one more chance to access a repeat Loan, taking the potential maximum number of Loans up to five. This repeat Loan can only be for the same learning aim or the same type of learning aim at the same level that the learner previously withdrew from.

### **Deciding whether learners are eligible for a Loan**

334. Loans will be non-means-tested and will be available to eligible learners aged 24 and over when they start their learning, studying in England for learning aims we approve at a provider we approve in England.
335. The Student Loans Company will be responsible for assessing whether learners are eligible. This means that the assessment of eligibility will not be required in the Learning Agreement.

### **Loan amounts and financial contributions**

336. A learner will only be eligible to receive a Loan that is either equal to, or less than, the lower of the two values (shown below), with a minimum value of £300.
- 336.1. The funding rate in LARS (for advanced-level Apprenticeships and higher Apprenticeships the Loan available is up to 50% of the rate in LARS to reflect expected employer contributions)
- 336.2. Your fee, as shown in your 'learning and funding information letter' (see paragraph 339 for further details).
337. The Loan can cover all costs and charges for items which a learner cannot complete their course without.
338. We do not expect that you would need to charge more than the maximum Loan amount.

## Information needed

The SLC will be responsible for deciding whether a learner is eligible for a Loan and for making Loan payments to you on behalf of learners. If you are delivering provision funded by Loans, SLC will give you access to their [learning provider portal](#) (an interactive web-based service that will act as the main channel of communication between you and the SLC, which will be the method they use to confirm learner attendance and release Loan payments).

339. If the learner decides to apply for a Loan, you must give them information in the '[learning and funding information letter](#)' to help them make their application. This letter is vital in the application process, as otherwise the learner will not have the relevant information to fill in either the paper or online Loan application. The letter must include:
- 339.1. the UK provider reference number (UKPRN)
  - 339.2. the learning aim reference number.
  - 339.3. the title of the learning aim
  - 339.4. the name and code of the Apprenticeship framework level and pathway
  - 339.5. the learning aim or Apprenticeship framework start date and planned end date.
  - 339.6. the fee charged to the learner, and
  - 339.7. the maximum amount of Loan available for the learning aim or Apprenticeship framework as published on LARS.
340. You will be able to see the status of the learner's Loan application using the learning provider portal which is delivered by the SLC.
341. Once the learner's Loan application has been approved and the learner has started the learning aim or Apprenticeship framework, you must confirm this to the SLC through the learning provider portal.
342. You can only confirm that the learner has started once the learner has been attending for at least two weeks. This is referred to as the 'initial liability point' and will either be:
- 342.1. two weeks from the learning aim or Apprenticeship framework's start date, as shown on the Loan application form, or
  - 342.2. two weeks after the learner started their studies, if they started at a later date than the one given on the Loan application form. (In this

situation you must tell SLC about the change to the start date through the learning provider portal.)

343. You must accurately record the learner's unique learner number (ULN) before you can confirm their attendance.
344. You must fill in an individualised learner record (ILR) for Loans-funded learners, and make sure that it matches the information you have filled in on the loans portal. Loans are recorded on the ILR as follows.
  - 344.1. code 99 in the funding model field
  - 344.2. 24+ Advanced Learning Loan indicator (and Loans Bursary if applicable) in the learning delivery funding and monitoring fields.
345. Loans-funded provision is included in the calculation of success rates in the same way as provision funded by us, using the ILR information that you have supplied. As a result, the six-week rule (where provision is exempt from success rates if a learner leaves within six weeks of the learning beginning) will continue to apply for the purposes of working out success rates.
346. You must return confirmation of attendance to the SLC every three months through the learning provider portal.
347. Between these confirmations, SLC will assume attendance each month. Because of this, you must let the SLC know if a learner withdraws from their learning aim or takes a break in their learning. You should do this through the change of circumstance functions in the learning provider portal.
348. You must confirm to the SLC if a learner does not attend. This can be either when a learner leaves their learning aim before the initial liability point, or if a learner has never attended.

## Payments

349. The SLC will make Loan payments to you using a flat monthly profile based on the initial liability point and the learning aim or Apprenticeship framework end date. So, if a learner takes out a Loan of £900 for a learning aim or Apprenticeship framework that will be delivered over nine months, you will receive nine separate monthly payments of £100 from the SLC.
350. Loans payments can only be made up to a maximum period of time. If the learning aim or Apprenticeship framework end date is later than the maximum period of time for payments, the payments will be scheduled to be paid in full (depending on any change of learner or provider circumstances) during the maximum period of time allowed for that

learning aim or Apprenticeship framework. The maximum payment durations are as follows:

- 350.1. AS/A2/and A-level(s) – up to two years for each separate A-level
  - 350.2. QAA Access to HE Diploma – up to two years
  - 350.3. QCF level 3 Certificate – up to two years
  - 350.4. QCF level 3 Diploma – up to three years
  - 350.5. QCF level 4 Certificate – up to two years
  - 350.6. QCF level 4 Diploma – up to three years
  - 350.7. Advanced-level Apprenticeship – up to three years
  - 350.8. Higher Apprenticeship – up to three years.
351. Payments will be made on a set date in each month.
352. Payments are based on the learner's initial liability point and the end date of the learning aim or Apprenticeship framework. If the end date changes in the first three months of the learner starting the learning aim or Apprenticeship framework, payments will reflect the revised end date. If the change happens after the first three months, payments will stay the same as originally planned. The only exception to this, where the payments will reflect the new end date, will be where a learner takes a break in their learning and returns within 12 months. The three-month rule applies to SLC payment systems, and does not affect the ILR rules for recording planned end dates of learning aims and Apprenticeship frameworks.
353. If a learner completes their learning aim early, the SLC will make a balancing payment to you once you tell them about this using the learning provider portal.
354. A learner can change their Loan amount and either increase or reduce their original Loan amount. The SLC will change the Loan payments and repayment amounts as a result. You will be able to see all learners who have reduced their Loan amount from the original amount they applied for, and indeed any other reassessment which has taken place, on the Learning Provider Portal.
355. A learner will always be legally responsible for Loan payments you have already received.

356. If a learner withdraws from a learning aim early, the learner will be legally responsible for the payments for the period in which they were in attendance only. Your payments for future months will then end.
357. There will be no separate payment of an achievement element for provision funded through a Loan.
358. There will be no separate job outcome payment for provision funded through a Loan.
359. The SLC will not apply a discount of the rate for an advanced-level or higher Apprenticeship if the apprentice is an employee of a large company.
360. The SLC will not apply the age 24+ discount for an advanced-level or higher Apprenticeship.

### **If the learner's circumstances change**

361. There will be times where a learner's details or circumstances may change.
362. All guidance for learners must emphasise the importance of telling the SLC about a change as this will reduce, as far as possible, the risk of a learner becoming legally responsible for a Loan for a learning aim or Apprenticeship framework they are no longer studying.
  - 362.1. Detailed information and guidance for the provider is on the Learning Provider Services website.
  - 362.2. Learners can get information and guidance from the National Careers Service website, gov.co.uk and the Money Advice Service.
363. The following reasons may result in a learner's details or circumstances changing from the original information supplied in their initial application. In all cases the learner must tell the SLC when there has been a change.
  - 363.1. A change in personal details
  - 363.2. A change in provider
  - 363.3. A change of learning aim or Apprenticeship framework details
  - 363.4. A change of Loan amount or the fee you charge
  - 363.5. Cancellation of an application
  - 363.6. Withdrawal from the learning aim or Apprenticeship framework

- 363.7. Taking a break from learning or suspending or resuming learning.
364. If the details or fees of the learning aim or the Apprenticeship framework change you must produce another Learning and Funding Information Letter.
365. If a learner changes provider during the learning aim or Apprenticeship framework, they must tell the SLC and be marked as a withdrawal with you. The learner will then need to reapply to the SLC for a Loan to continue their studies at the new provider.

### **Retrospective applications and changes**

366. A learner can apply for a Loan retrospectively (after the initial liability point but while still undertaking the learning aim or Apprenticeship framework). When a learner applies for a Loan retrospectively, and they have already paid fees to a provider, if the Loan application includes the period a fee had already been paid for, then the provider must refund the learner (in order to avoid double funding).
367. A learner or provider will be able to raise a Change of Circumstance retrospectively. This must be raised while the learner is undertaking their learning aim or Apprenticeship framework.
368. If a learner has a Loan for 'Access to HE' Diploma courses written off, the provider payments will not be affected.

### **Evidence required**

As well as the Learning Agreement, except for the assessment of eligibility, we will require evidence of the following.

Paragraph 339 - A completed learning and funding information letter for each learner.

## 24+ Advanced Learning Loans Bursary Fund

The Loans Bursary Fund is aimed at helping vulnerable and disadvantaged learners who are being funded through a Loan such as those with learning difficulties or disabilities, parents who need help with childcare, and ex-military personnel.

The fund will be distributed as decided by the provider and is not an entitlement.

Please note that the claiming and earnings methodology is different for grant-funded providers and contract-funded providers.

369. The Loans Bursary Fund will provide funding for the following.

- 369.1. Discretionary Learner Support (DLS) type activity for hardship, childcare and residential support.
- 369.2. Learning support type activity for 'in learning' support, such as support for teaching assistants or necessary adjustments under the Equality Act. You must make sure that you keep sufficient funding for this purpose.
- 369.3. Providers' area costs, based on information in the ILR about where the learning takes place (the delivery location postcode).
- 369.4. Learners in custody or released on temporary licence who get a Loan from the Student Loans Company. However, support must only be provided for Learning Support activity (see paragraph 369.2).

### Contract-funded providers

370. You will earn Loans Bursary funding based on the information recorded in the ILR.

371. You must claim the Loans Bursary using one of the three fixed rates shown below. These rates are shown in the learning delivery funding and monitoring fields of the ILR. You can only claim one rate per learner per month, but the rate you use each month can change to reflect the needs of the learner being supported. The rate you claim must reflect the criteria below and the value of the support provided.

Rate 1 (£50) – Low-cost learner support, not including childcare and residential

Rate 2 (£150) – Learning support recognising that the learner could have Learner Support needs as well.

Rate 3 (£250) – Residential or childcare support recognising that the learner could have other learning support or Learner Support needs as well.

372. We expect the total you earn from the monthly rate to be enough to cover your costs. If the cost of you providing support to a learner goes above the total earned from the fixed monthly rate, and you provide evidence of the excess, you will be able to claim this excess from your Loans Bursary Fund using the Earnings Adjustment Statement.
373. If a learner funded through a Loan attracts area cost uplift funding, this will be earned automatically based on information in the ILR about where the learning takes place (the delivery location postcode).
374. You must refer to the Discretionary Learner Support funding rules (paragraphs 314 to 318) when providing Learner Support from your Loans Bursary Fund.

### **Grant-funded providers**

375. You will be paid in stages (that is, you will receive 'profile' payments) for your Loans Bursary Fund – 50% in August, 25% in January and 25% in April. You will be able to manage the Learner Support element of your Loans Bursary Fund in line with your DLS budget, as set out in paragraphs 309 to 322. If you do not have a Discretionary Learner Support allocation, you will need to fill in the funding claim form to show any learner support given to Loans-funded learners.
376. If necessary you can use your Discretionary Learner Support budget to provide learner support to learners funded through a Loan. However, you must not use your Loans Bursary Fund for learners funded through the Adult Skills Budget.
377. All learner support you provide must be recorded separately on the Discretionary Learner Support mid-year and final funding claims for learners funded through a Loan.
378. Learning support funding must be recorded using rate 2 (£150) within the learning delivery funding and monitoring fields of the ILR. You must not use rates 1 or 3.
379. If the learning support given goes over the monthly rate, and you provide evidence of the excess, you will be able to record this excess using the Earnings Adjustment Statement. If you record excess funding you must



keep evidence of the total spending, not just the excess. The excess will be set against your Loans Bursary Fund.

380. If a learner funded through a Loan attracts area cost uplift funding, this will be recorded automatically based on information in the ILR about where the learning takes place (the delivery location postcode).
381. At the end of the year we will compare the amount of Loans Bursary and Discretionary Learner Support you have used to support learners funded through a Loan against your combined Loans Bursary Fund and Discretionary Learner Support funding allocations.

### All providers

382. You must refer to the Learning Support (see paragraphs 229 to 234.4) funding rules, but the following apply only to the Loans Bursary Fund.
383. You must do the following.
  - 383.1. Prioritise vulnerable groups and disadvantaged learners.
  - 383.2. Consider the most appropriate fund to draw from in circumstances where a learner is receiving funding from us as well as through a Loan.
  - 383.3. Use your Loans Bursary Fund only for learners who have had a Loan approved by the Student Loans Company, and who have an assessed need.
  - 383.4. Publish your methodology (including complaints procedures) for awarding the Learner Support element of your Loans Bursary Fund. Your criteria must clearly reflect equal opportunities and diversity and these criteria must be available to all learners and us if we ask.
  - 383.5. Carry out a robust assessment to identify the learning support the learner needs. Agree and record the outcome of your assessment in the Learning Agreement and keep evidence of the assessment of needs.
  - 383.6. Deliver support to meet the learner's identified needs, and review progress and continuing needs as appropriate.
384. If learning support needs are more than £19,000 in a funding year (exceptional Learning Support), we may fund the costs over £19,000 through a separate central budget. You must do the following.

- 384.1. Get agreement from your relationship manager for learners whose support costs will be more than £19,000 in a funding year, by completing the Learning Support Costs form.
  - 384.2. Get further agreement if the learner's support needs change significantly during their learning.
  - 384.3. Claim payments for learners' exceptional Learning Support in 2013/2014 by 24 October 2014.
385. When making decisions about awarding Loans Bursary funding, you must take into account the availability of other financial support for learners, including support funding through the Department for Work and Pensions (DWP) and Jobcentre Plus (JCP) – for example, the JCP work programme (see Annex 1).
386. You must not:
- 386.1. Use Loans Bursary funding to pay learners' fees related to learning.
  - 386.2. Use Loans Bursary funding to cover costs and charges for items without which a learner could not complete their course as these should be charged in the course fee.
  - 386.3. Use the Loans Bursary Fund to support 16-19 learners.
  - 386.4. Transfer funding from the Loans Bursary Fund to Discretionary Learner Support.

## Evidence required

As well as the Learning Agreement we will require evidence of the following.

Paragraph 372 and 379 – When you claim (for contract-funded providers) or record (for grant-funded providers) Loans Bursary funding over the fixed monthly rate you must provide evidence of total spending on the learner, and demonstrate why the cost of the support is greater than the total earned from the fixed monthly rate. You must explain why you have claimed or recorded the amount you have, which would be linked to the learner's assessment and planned learning or Learner Support claim. You must only claim or record amounts for your costs of delivering the support to the learner or to meet their Learner Support claim and not include any indirect costs or overheads.

Paragraph 383.4 – Copy of your methodology for awarding the Learner Support element of your Loans Bursary Fund.

Paragraph 383.5 - Evidence that the learning support element of your Loans Bursary Fund claim is backed up by an assessment, that there is a planned programme of support included in the Learning Agreement, and there is evidence of the planned programme for providing additional support included in the Learning Agreement.

Paragraph 384.1 – A copy of the agreement from your relationship manager to fund exceptional Learning Support. This could be an email from your relationship manager on our behalf.

## Contracting and subcontracting

We will only fund providers that have a current funding agreement. There are two ways an organisation can have a direct legal relationship with the Chief Executive of Skills Funding:

- as a single legal entity (college, private or public organisation), or
- with other legal entities (for example a consortium) on a joint and several basis (so that the contract can be enforced against all or one of the legal entities).

If you want to be considered for funding you must successfully complete the Due Diligence Assurance Gateway and enter the Register of Training Organisations. Arrangements are different for large employers funded to deliver training to their own employees. This reflects the outcome of the recent large employer simplification project. If you fall into this category, please contact the National Apprenticeship Service for advice.

387. If you want to be considered for a contract from the Chief Executive, and be invited to tender for future education and training services, you must enter the Register of Training Organisations by successfully completing the Due Diligence Assurance Gateway. You can find details of this on our [website](#).
388. Entry on the Register of Training Organisations does not guarantee you will receive funding or a Loans facility. It does mean we will invite you to compete for future tendering opportunities based on the type of delivery you chose in your Due Diligence Assurance Gateway online questionnaire. Delivery depends on demand and will be in line with the current Skills Funding Statement. (Delivery programmes may change depending on demand and the current Skills Funding Statement).
389. Large employers who receive direct grant funding from NAS need to be entered on the Register of Training Organisations. For more information please contact your NAS account manager.
390. We also require all subcontractors with subcontracts totalling £100,000 and above to be entered on the Register of Training Organisations. We will only invite those subcontractors who are entered on the Register of Training Organisations to compete in future tender opportunities.
391. Organisations that are not listed on the Register of Training Organisations will not be invited to compete in future tenders and will not be considered for funding or a Loans facility until they successfully enter the Register.

392. All lead providers and subcontractors must register on the UK Register of Learning Providers (UKRLP) and hold a valid UKPRN to be eligible to receive funding or a Loans Facility, either directly or through a subcontracting arrangement.
393. Only organisations that prove they are financially robust and can give evidence of their track record of delivering provision to the required quality and standard will enter the Register of Training Organisations.
394. When returning information to us, all organisations must make sure that their organisation name exactly matches the organisation name as it appears on UKRLP, their funding agreement, Companies House information (if this applies), the e-tendering portal and all other supporting documents.
395. To be listed on the Register of Training Organisations in 2013/2014 you must successfully complete the Due Diligence Assurance Gateway as part of our refresh process (our process of updating the Register of Training Organisations). If you fail, or do not apply at the refresh, you must apply at the next opening of the Due Diligence Assurance Gateway. In the meantime your organisation will not be listed on the Register of Training Organisations and you will not be able to take part in tenders or be considered for growth cases (that is, an increase in your contract value) during this period. If, at the second opening you do not apply, or fail the Due Diligence Assurance Gateway in 2013/2014, your funding arrangements will be reviewed.
396. The same requirement applies to subcontractors. However, we will suspend any growth cases the lead provider has submitted in relation to the subcontractor. This is because there is a risk that the delivery model is not working effectively and funds could be at risk. If the subcontractor fails the Due Diligence Assurance Gateway after their second opportunity to apply, the lead provider must end their subcontract.
397. If we find that you have given false information when completing the Due Diligence Assurance Gateway, we will remove you from the Register of Training Organisations.
398. If you are the subject of our Intervention Policy, we will not invite you to compete for tender opportunities or consider you for growth. We may remove or suspend you from the Register of Training Organisations.
399. If you want to transfer your contract to a new provider, you must write to us asking permission first. There is no automatic right of transfer and you can only transfer a contract to an organisation that is on the Register of Training Organisations.

## Subcontracting

We recognise the benefits that effective subcontracting can bring in extending the range and accessibility of provision. However, we continue to see instances of ineffective subcontracting practice. These instances have created financial problems and damaged the sector's reputation. In some cases, providers have needed to make substantial repayments to us.

Problems have been particularly apparent where the subcontracted provision has been whole programmes, or where learning has taken place at a distance from the funded provider.

We do not want to restrict providers from entering into subcontracting arrangements if these are in the best interests of learners and employers. Instead, these subcontracting funding rules are focused on helping providers to effectively subcontract and monitor the provision they subcontract.

We can, at any time, assess your arrangements for subcontracting. We can also require you to commission an independent report on these arrangements from a third party, such as your external auditors.

Through the work of the External Advisory Group on Supply Chain Management, two documents – the Common Accord and the Supply Chain Management: a good practice guide for the post 16 sector – have been produced to support providers in their supply chain management. We highly recommend that you routinely refer to these two documents during all stages of the subcontracting process. They can be found on the [website](#).

## Procurement

400. If you have not previously subcontracted provision we fund, you must get approval in writing before awarding a contract to a subcontractor.
401. When appointing subcontractors you must take steps to avoid conflicts of interest, and must tell the Chief Executive, in writing, about any circumstances (for example, common directorships) which might give rise to an actual or perceived conflict of interest. You should not proceed to award the contract without the Chief Executive's permission in writing.
402. You must not use the Register of Training Organisations as a substitute for carrying out your own due diligence checks when appointing subcontractors.
403. You must not appoint any subcontractors with a contract value of £100,000 or above per funding year unless they are listed on the Register of Training Organisations first. This also applies if the subcontract from you would take the total value of contracts that the

subcontractor holds to £100,000 or more. You must make sure that such subcontractors are listed on the Register of Training Organisations before entering into any arrangements for the funding year.

404. We expect you to make sure any subcontractor you appoint keeps to the Register of Training Organisations' requirements and that they receive all the necessary support from you.
405. If any of the following circumstances apply, you must **not** enter into new subcontracting arrangements or extend existing arrangements. These conditions will continue until we are satisfied that the situations have been put right.
  - 405.1. If Ofsted has rated your leadership and management as inadequate
  - 405.2. If you do not meet our [Minimum Standards](#)
  - 405.3. If the outcome of your annual financial health assessment we carry out is inadequate.

## Contracting

406. You remain ultimately responsible for all provision you have subcontracted.
407. You must make sure that learners and employers supported through subcontracting arrangements know about your and your subcontractor's roles and responsibilities in providing the learning.
408. You must have a legally binding contract with each subcontractor.
409. You must only award contracts for delivering funded provision to legal entities. If the legal entity is a registered company, it must be recorded as 'Active' on the Companies House database.
410. You must not award a contract to a legal entity if:
  - 410.1. it has an above average risk warning from a credit agency
  - 410.2. it has passed a resolution (or the court has made an order) to wind up or liquidate the company, or administrators have been appointed, or
  - 410.3. its statutory accounts are overdue.

## Terms that must be included in contracts with subcontractors

We need certain levels of assurance that education and training provided by subcontractors will keep to our funding rules.

You must make sure that the terms of your subcontracts allow you to:

- monitor the subcontractor's activity
- have control over your subcontractors, and
- monitor the quality of education and training provided by subcontractors.

We do not provide a template for subcontracts, but you must make sure your subcontracts include the contents of this section. You should take your own legal advice on the wider terms and conditions of contracts you enter into with subcontractors.

411. Subcontractors must keep to our funding rules.
412. Subcontractors must provide Individualised Learner Record (ILR) data so your data returns to us accurately reflect your subcontractors' delivery information.
413. Subcontractors must give us, and any other person nominated by us, access to their premises and all documents relating to providing education and training funded by us.
414. Subcontractors must give you sufficient evidence to allow you to:
  - 414.1. assess their performance against Ofsted's Common Inspection Framework
  - 414.2. incorporate the evidence they provide into your self-assessment report, and
  - 414.3. guide the judgements and grades within your self-assessment report.
415. Subcontractors must always have suitably qualified staff available to provide the education and training we fund.
416. Subcontractors must co-operate to make sure that there is continuity of learning if the subcontract ends for any reason.
417. Subcontractors must tell you if evidence of any irregular financial or delivery activity arises. Irregular activity could include, but is not limited to:
  - 417.1. non-delivery of training when funds have been paid



- 417.2. sanctions imposed on the subcontractor by an awarding organisation
  - 417.3. an inadequate Ofsted grade
  - 417.4. complaints or allegations by learners, people working for the subcontractor or other relevant parties, and
  - 417.5. allegations of fraud.
418. All ESF clauses from your funding agreement with us must be included in the subcontract, even if the provision being subcontracted is not funded by ESF.
419. Subcontractors must not use our funding to make bids for or claims from any European funding on their own behalf or on our behalf.
420. Subcontractors must not use payments made as match funding for ESF Co-Financing Projects.

## Monitoring

421. You must make sure that any of your subcontractors holding contracts with an overall value of £100,000 or more a year are listed on the Register of Training Organisations.
422. You must carry out a regular and substantial programme of quality-assurance checks on the education and training provided by subcontractors, including visits at short notice and face-to-face interviews with staff and learners. The programme must cover whether the learners exist and are eligible, and involve direct observation of initial guidance, assessment and delivery of learning programmes. Your findings must be consistent with your expectations and the subcontractor's records.
423. You must make sure that any Apprenticeship provision that you subcontract meets all of the standards required of Apprenticeship delivery, including the requirements of the individual Apprenticeship frameworks, the Statement of Apprenticeship Quality and the rules in the Apprenticeship section of this document.
424. You must carry out an investigation, at your own cost, if there is any evidence of a subcontractor's irregular financial or delivery activity. You must report the outcome of the investigation, in writing, to your relationship manager. You must do this within 10 days of your investigation ending.

## Second-level subcontracting

425. You must get our approval in writing each year if you want to subcontract to a second level. We will only allow second-level subcontracting in exceptional circumstances.
426. You must declare any second-level subcontracting on your Subcontractor Declaration Form.

## Reporting subcontracting arrangements

427. You must provide a fully completed Subcontractor Declaration Form at least twice during 2013/2014. We will tell you the exact dates you must provide the form by. If you do not return the form on time, your payments will be suspended. If you do not subcontract, you must still provide the form to confirm this.
428. You must also update and return your Subcontractor Declaration Form if your subcontracting arrangements change during the year.

## Distributing income between you and your subcontractors

By law the Chief Executive must make the best use of resources when securing the provision of education and training. We will monitor the fees and charges associated with subcontracting to make sure enough funding is being allocated for providing high-quality education and training.

We can move subcontractors into a direct contractual relationship.

You must publish your supply-chain fees and charges policy and your actual end-of-year supply chain fees and charges. This information must be published on your website.

Your fees and charges information should only include 'provision subcontracting'. Provision subcontracting is when you subcontract the delivery of full programmes or frameworks. It is not subcontracting the delivery of a service as part of the delivery of a programme (for example, buying the delivery of part of an Apprenticeship framework or outreach support).

If you are not sure whether your subcontracting arrangements are defined as 'provision subcontracting', discuss this with your relationship manager.

429. You must publish your supply-chain fees and charges policy on your website before entering into any subcontracting agreements for the 2013/2014 academic year. Employers receiving direct grant funding from NAS can choose to publish information on their fees and charges policy

online or send the information to their employer account manager. This information will then be held on record and be available for requests under the Freedom of Information Act.

430. You must, as a minimum, include the following in your supply-chain fees and charges policy.
  - 430.1. Your reasoning for subcontracting
  - 430.2. Your contribution to improving your and your subcontractor's quality of teaching and learning
  - 430.3. The typical percentage range of fees retained to manage subcontractors, and how this range is calculated
  - 430.4. The support subcontractors will receive in return for the fee you charge
  - 430.5. If appropriate, the reason for any differences in fees charged for or support provided to different subcontractors
  - 430.6. Payment terms between you and your subcontractors – timing of payments in relation to delivering provision and timescale for paying invoices and claims for funding received
  - 430.7. How and when the policy is communicated to and discussed with current and potential subcontractors
  - 430.8. Timing for policy review
  - 430.9. Where the policy is published.
431. You must also publish data on the actual level of funding paid and retained for each of your subcontractors in 2013/2014. This data must be published within 30 days of the 2013/2014 ILR closing.
432. You must, as a minimum, include the following in your published supply-chain fees and charges:
  - 432.1. Name of the subcontractor
  - 432.2. UKPRN number of the subcontractor
  - 432.3. Contract start and end date
  - 432.4. Type of provision (for example, 16-18 Apprenticeships, 19+ Apprenticeships, classroom learning, workplace learning)
  - 432.5. Funding we have paid to you for provision delivered by the subcontractor in that academic year

- 432.6. Funding you have paid to your subcontractor for provision delivered in that academic year
  - 432.7. Funding you have retained in relation to each subcontractor for that academic year
  - 432.8. If appropriate, funding your subcontractor has paid to you for services or support you have provided in connection with the subcontracted provision
433. You must publish this information on fees and charges alongside your supply-chain fees and charges policy to allow all your supply-chain fees and charges information to be viewed in context.

## Evidence required

As well as the Learning Agreement we will require evidence of the following.

Paragraph 400 – A request to subcontract, a report from external auditors, and a copy of approval from the Chief Executive of Skills Funding.

Paragraph 401 – Written details of anything that could be considered to give rise to a conflict of interests, and a copy of the response from the Chief Executive of Skills Funding.

Paragraph 403 and 416 – Evidence that the subcontractor is on the Register of Training Organisations and the UK Register of Learning Providers (UKRLP), and their UK Provider Registration Number (UKPRN).

Paragraph 408 – Copies of your subcontracts with each subcontractor.

Paragraph 409 and 410 – Copies of the process you follow and checks you carry out when appointing subcontractors.

Paragraph 424 – A copy of the investigation report, including follow-up actions and outcomes.

Paragraph 425 – A request to second-level subcontract and copy of approval to second-level subcontract.

Paragraph 427 and 428 – An up-to-date and fully filled-in Subcontractor Declaration Form.

Paragraph 429 and 430 – Evidence of a published supply-chain fees and charges policy, as set out in the funding rules.

Paragraph 431 to 433 – Evidence of funding paid and retained in relation to supply-chain fees and charges, as set out in the funding rules.

## Annex 1

### Eligibility for funding

#### Introduction

1. You must make sure that any learner you claim our funding for is eligible. You must remember that having the right to live or work in England does not make a person eligible for state funding for education and training. For example, an individual may have a right or permission to work in England, such as an individual on a student visa, but not to state funding for education or training.
2. To qualify for our funding, the individual must be eligible on the first day of starting the learning aim. If they have already started a learning aim when they were not eligible for our funding, any change in their circumstances making them eligible, will not result in us providing funding for this learning aim. However, we will fund learning aims in the future for this individual.
3. Eligibility to funding does not give the individual the right to funding, just the ability to be funded. This would depend on their circumstances, such as previous achievement, economic status, age and so on.
4. Most individuals who want to take part in learning will be eligible for funding if they meet three basic rules.
  - 4.1. They are a citizen of the United Kingdom and Islands, have Right of Abode (the right to live permanently in the United Kingdom without any immigration restrictions), or are a citizen of a country that is within the European Economic Area (EEA)
  - 4.2. They have been ordinarily resident in the United Kingdom and Islands or the European Union (EU) or the European Economic Area (EEA) continuously for at least the previous three years on the first day of learning
  - 4.3. The learning is taking place in England.
5. Other individuals could be eligible who do not meet the above list.

#### Family members

6. We define a family member of a 'principal' (see the table over the page) as their husband, wife, civil partner, child or grandchild, or dependent parent or grandparent. A 'principal' is the individual who is the main or highest in the rank or importance when looking at eligibility of family members. A family member also includes those individuals recognised by the Home Office and its agencies as a family member.

7. This table shows the eligibility for family members if:

7.1. the family member is now ordinarily resident in England, but has not been ordinarily resident in the EEA for at least the previous three years before the start of learning, but

7.2. the 'principal' family member has been resident for the required three years.

		'Principal' ordinarily resident in EEA for three years			
		UK citizen	EU citizen	Non-EU EEA citizen	Non-EEA citizen
Family member not ordinarily resident in EEA for three years	UK citizen	Eligible	Eligible	Eligible	Not eligible
	EU citizen	Eligible	Eligible	Eligible	Not eligible
	EEA citizen	Eligible	Eligible	Not eligible	Not eligible
	Non-EEA citizen	Eligible	Eligible	Not eligible	Not eligible

8. Family members of UK, EU and EEA citizens who have been ordinarily resident in the EEA for at least the previous three years before starting learning are eligible for funding.

### Non-EEA citizens

9. A non-EEA citizen is eligible for funding if they have permission granted by the UK Government to live in the UK, which is not for educational purposes, and has been ordinarily resident in the UK for at least the previous three years before the start of learning.

### Government decisions on an individual's immigration status

10. Anyone with any of the statuses listed below, and their husbands, wives, civil partners and children, are eligible for funding.

10.1. Refugee Status

10.2. Discretionary Leave to Enter

10.3. Discretionary Leave to Remain

- 10.4. Exceptional Leave to Enter
- 10.5. Exceptional Leave to Remain
- 10.6. Indefinite Leave to Enter
- 10.7. Indefinite Leave to Remain
- 10.8. Humanitarian protection.

## **Refugees**

- 11. Refugees recognised by the UK Government, along with their husband, wife, civil partner and children, are eligible for funding.

## **Asylum seekers**

- 12. Asylum seekers are eligible for funding if:

- 12.1. they have legally been in the UK while their claim is being considered by the Home Office for longer than six months and no decision has been made, or
- 12.2. they are in the care of the local authority and are receiving local authority support under s23C or s23CA Children Act 1989 or s21 National Assistance Act 1948.

- 13. An individual refused asylum will be also be eligible if:

- 13.1. they appeal against a decision made by the UK Government against granting refugee status and no decision has been made within six months of lodging the appeal, or
- 13.2. they are granted support under section 4 of the Immigration and Asylum Act 1999.

## **16- 18 Apprenticeships**

- 14. As well as the main eligibility criteria, the following groups of 16- to 18-year-olds are eligible for funding for an Apprenticeship, if they:

- 14.1. are accompanying or joining parents who have the Right of Abode, Leave to Enter or Leave to Remain in the UK (or accompanying or joining parents who are EEA nationals), or are children of diplomats
- 14.2. are children of teachers coming to the UK on a teacher-exchange scheme

- 14.3. are entering the UK (where not accompanied by their parents) and are British (or EEA) citizens
- 14.4. have a passport that has been endorsed to show they have the Right of Abode in this country
- 14.5. are an asylum seeker, or
- 14.6. are placed in the care of a local authority.

### **Children of Turkish migrant workers**

15. A child of a lawfully employed Turkish worker is eligible if:

- 15.1. the Turkish worker has been ordinarily resident in the UK
- 15.2. the Turkish worker is, or has been, lawfully employed in the UK, and
- 15.3. the child has been ordinarily resident in the EEA or Turkey for the full three-year period before the start of their programme.

### **Continuing learners**

- 16. Learners who are following learning aims or a programme lasting more than one funding year, and are eligible for our funding at the start of their programme, will be eligible for funding for the whole length of the learning aim or programme. You will need to reassess the learner for any subsequent learning aims or programmes started in the current funding year which we can provide funding for.
- 17. Learners previously funded by the EFA, who we become responsible for funding if they continue their learning aim or programme in the next funding year after their 19th birthday, will be eligible for funding from us for those continued learning aims.
- 18. If a learner starts a learning aim that we do not fund, we cannot do so later, even if the learner's circumstances change or if funding becomes available.
- 19. We will only fund a continuing learner with providers if we have a funding agreement in place.



## Definitions

### Ordinarily resident

20. For funding purposes, a person is ordinarily resident in a country if they normally live in the country by choice, are allowed to live there by law, and return there after temporary trips outside the country.
21. If someone who has not been ordinarily resident in a country because they, their parent or their husband, wife or civil partner was working temporarily abroad, and they needed to go with them, we will treat them as if they were ordinarily resident of that country.

### Civil partner

22. This is a person who is in a civil partnership as recognised by the state,

### EEA citizen

23. Under the funding rules, this is an individual who is a citizen of Iceland, Liechtenstein, Switzerland and Norway. We recognise that all EU citizens, including UK citizens, are EEA citizens. However, we need to define the smaller group of non-EU EEA citizens separately.

### 'No recourse to public funds'

24. In an individual's passport the UK Border Agency may have stamped 'No recourse to public funds'. 'Public funds' are defined in the immigration rules, and the benefits and services listed do not include education or any education funding. As a result, this condition in a passport makes no difference to a learner's eligibility, which must be decided under the normal eligibility conditions.

### Learners from Wales, Scotland or Northern Ireland

25. Wales, Scotland and Northern Ireland have their own funding arrangements. You must develop arrangements with the relevant administration if you are planning to deliver a significant quantity of learning to non-English residents.
26. In exceptional circumstances, we will consider funding an individual or a very small group of non-English individuals, if specialist skills training is not available other than in England and they want to travel to or live in England to study and learn. You must contact us for authorisation before you recruit anyone. We will take into account the circumstances of any request, but it is unlikely that we will authorise more than 10 individual starts within a funding year. You must not actively recruit learners from outside of England. If the group or provision is large enough, you must approach the relevant administration to get direct funding for those learners.

27. For workplace learning we will fund non-English resident learners (usually those learners living in Wales, Scotland or Northern Ireland) whose main employment and normal working premises are in England.
28. If an employer, based in the UK, bases their training provision only in England and this would include non-English residents, you must ask your relationship manager for permission to recruit. It is unlikely that we will authorise a group of more than 10 individual starts within a funding year.
29. We have funding arrangements with the funding councils for Wales and Scotland for providers who are close to the borders. This means providers can deliver learning in England to non-English residents who fall within their catchment area or vice versa.
30. All learners who are ordinarily resident in the Channel Islands or Isle of Man will not be eligible for funding as the funding responsibility for their programmes is with their own independent governments.

### **Learners in the armed forces**

31. We recognise that British armed forces personnel may want to continue in education and training while serving their country. We will fund eligible programmes of study for service personnel, Ministry of Defence (MoD) personnel or civil and crown servants, their husbands, wives, civil partners and dependants in the following circumstances:
  - 31.1. If the person has their permanent address in other parts of the UK but is on a posting elsewhere in England or is in England with a member of the service personnel, Ministry of Defence (MoD) personnel or a civil servant
  - 31.2. If the person has their permanent address in England but is posted outside England as part of their work with the armed forces or is with a member of the service personnel, Ministry of Defence (MoD) personnel or a civil servant. This includes both cases where the person begins a learning aim or programme in England and is posted elsewhere while enrolled on this learning aim or programme, and cases where the person begins a learning aim or programme while posted outside England. In either case, we will fund the learning aim or programme until they finish it.
32. We treat members of the British armed forces posted outside of the EU as still ordinarily resident in the UK for eligibility purposes. This means that when they return to England, they do not have to be ordinarily resident in England for three years before being eligible. This also applies to the family members of these people. This eligibility will end three years after they leave the British armed forces, if the ex-member of the armed forces does not return to the UK during that time.

33. The provision in paragraph 32 above would also apply if ordinary residence in the EEA or Turkey is required and the learner or relevant family member has been a member of the armed forces of an EEA state or Turkey, as appropriate.
34. Individuals of other nationalities serving as members of the armed forces are eligible for funding throughout their period of service in the same way as members of the British armed forces. This includes the funding eligibility described above and their dependants living with them on their postings. This does not apply to family members who do not join members of the armed forces and instead stay outside of England.

### **Learners employed temporarily outside of England**

35. If a person who is ordinarily resident in England has to work outside of England for short periods as part of their job, they (and their dependants if they are ordinarily resident in England), are eligible for funding as long as some of the learning takes place in England.

### **Periods of study outside of England**

36. If during learning some activity means the learner has to travel outside of England, they will continue to receive funding. However, we will not provide extra funding to cover the expense of this activity.

### **Qualifying countries or areas that establish eligibility for our programme funding**

37. Member states of the European Union:

Austria	Germany	Poland
Belgium	Greece	Portugal
Bulgaria	Hungary	Romania
Croatia	Ireland	Slovakia
Cyprus	Italy	Slovenia
Czech Republic	Latvia	Spain
Denmark	Lithuania	Sweden
Estonia	Luxembourg	United Kingdom
Finland	Malta	
France	Netherlands	

## Notes on certain territories that fall within the EU

38. The following notes help to define those territories that we must treat as part of the EU for the purposes of the fees regulations.

**Cyprus:** the whole island became part of the EU on 1 May 2004. Any Cypriot national living on any part of the island will qualify for EU residency.

**Finland:** this includes the Aland Islands.

**France:** the French Overseas Department (DOMS) (Guadeloupe, Martinique, French Guiana (Guyana), Reunion and Saint-Pierre et Miquelon) is part of metropolitan France and is part of the EU.

**Germany:** includes the territory of the former German Democratic Republic before German unification. The tax-free port of Heligoland is included within the EU.

**Portugal:** Madeira and the Azores are part of the EU. Macau is not.

**Spain:** the Balearic Islands, the Canaries, Ceuta and Melilla are part of the EU.

**United Kingdom:** Gibraltar is part of the territory of the EU. The Channel Islands and Isle of Man are part of the United Kingdom and Islands but not part of the EU.

**Other territories:** Andorra, Monaco, San Marino and the Vatican are not part of the EU.

## EEA and eligible overseas dependent territories

39. For overall funding eligibility purposes, the EEA is defined as all member states of the EU and Iceland, Liechtenstein, Switzerland, Norway and all the eligible British overseas territories and EU overseas territories listed below. In law, Switzerland is not part of the formally recognised EEA, but its nationals are similarly eligible under various international treaties signed by the UK and Swiss governments.

40. Learners who are nationals of certain British overseas territories and of certain European overseas territories are eligible for funding, depending on the three-year rule on residence in the EEA.

### **Eligible British overseas territories**

Anguilla  
Bermuda  
British Antarctic Territory  
British Indian Ocean Territory  
British Virgin Islands  
Cayman Islands  
Falkland Islands  
Henderson Island  
Montserrat  
Pitcairn, Ducie and Oeno Islands  
South Georgia and the South Sandwich Isles  
St Helena and its dependencies  
Turks and Caicos Islands

### **Eligible overseas territories of other EU member states**

Greenland and Faroe Isles  
Antilles (Bonaire, Curacao, Saba, St Eustatius and St Maarten)  
Aruba  
New Caledonia and its dependencies  
French Polynesia  
Saint Barthélemy  
The Territory of Wallis and Futuna Islands  
Mayotte  
French Southern and Antarctic Territories

## Financial contributions

### Full funding

41. The following learners will be entitled to **full funding** for their learning programme.

### Learners aged 16 to 18

41.1. Individuals on intermediate-level Apprenticeships (including Access to Apprenticeships)

41.2. Individuals on advanced-level Apprenticeships (including Access to Apprenticeships)

41.3. Individuals on higher Apprenticeships at levels 4, 5 and 6 for their non-prescribed HE learning aims

### Learners aged 19 or older for all learning aims up to and including level 2, including units

41.4. Learners (see note 20) who need help to move into work, progress in work or remove a barrier to getting into work and who are:

- receiving Jobseeker's Allowance (JSA) (see note 21 below)
- receiving Employment and Support Allowance (ESA) and are in the work-related activity group (WRAG),
- receiving Universal Credit because they are unemployed, and who are mandated (required) to undertake skills training, or
- in custody who are released on temporary licence (RoTL) following learning outside a prison environment and not funded through OLASS.

41.5. Individuals who are unemployed and receiving any state benefits not listed above but who want to enter employment and believe skills training will help them to do so. This includes individuals receiving Universal Credit who are not mandated (required) to undertake skills training. Full funding is at your discretion. (This relates to the learner and not the type of benefit they are receiving.)

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Note 20: We will also fully fund certain stand-alone qualifications in Health and Safety at work, food hygiene, first aid at work and fork lift truck.

Note 21: Including those receiving National Insurance credits only.

## **Learners aged 19 or older for learning aims up to and including level 2**

- 41.6. Learners studying English and maths learning aims as part of the new suite of English and maths qualifications.
- 41.7. Trade union representatives studying Trade Union Congress (TUC) learning aims.

## **Learners aged 19 or older for learning aims at level 3**

- 41.8. An individual studying their first full level-3 qualification who has left the British armed forces (up to 10 years ago) after completing four or more years of service or who has been medically discharged, due to an injury in active service, after completing basic training. This does not apply to Apprenticeship frameworks. This includes those learners aged 24 and over.
- 41.9. Trade union representatives studying Trade Union Congress (TUC) learning aims.

## **Learners aged 19 to 23**

- 41.10. Entry or level-1 aims (not English, maths or ESOL) if a learner is entitled to a full level-2 qualification, in that they must have prior learning accreditation of level 1 or below, but need a step up from basic skills to progress to a full level 2. If this relates to workplace learning, this learning aim must be vocational.
- 41.11. An individual studying their first full level-2 qualification.
- 41.12. An individual studying their first full level-3 qualification.
- 41.13. A level-4 'jumper' studying their first level 4 Diploma without having achieved a first full level-3 qualification.
- 41.14. All learning aims approved for funding at level 3 or above for the following.
- Learners who need help to move into work, progress in work or remove a barrier to getting into work and who are:
    - receiving Jobseeker's Allowance (JSA) (see note 11)
    - receiving Employment and Support Allowance (ESA) and are in the work-related activity group (WRAG), or

- receiving Universal Credit because they are unemployed, and who are mandated (required) to undertake skills training.
- in custody who are released on temporary licence (RoTL) following learning outside a prison environment and not funded through OLASS.

41.15. Individuals who are unemployed and receiving any state benefits not listed above but who want to enter employment and believe skills training will help them to do so. This includes individuals receiving Universal Credit who are not mandated (required) to undertake skills training. Full funding is at your discretion. (This relates to the learner and not the type of benefit they are receiving.)

### Co-funding

42. The following learners will be entitled to **co-funding** for their learning programme unless they qualify for full funding under paragraph 41.

#### Learners aged 19 to 23

- 42.1. Individuals on intermediate-level Apprenticeships (including Access to Apprenticeships)
- 42.2. Individuals on advanced-level Apprenticeships (including Access to Apprenticeships)
- 42.3. Individuals on higher Apprenticeships at levels 4,5 and 6 for their non-prescribed HE learning aims
- 42.4. Entry-level or level-1 aims (not English or maths) for individuals who have attained a full qualification at level 2 or above. If this relates to workplace learning, this learning aim must be vocational.
- 42.5. A full level-2 qualification delivered through classroom learning for individuals who have attained full level 2 or above.
- 42.6. A full level-2 qualification delivered through workplace learning, where the learner is employed by a small or medium-sized enterprise (SME), for individuals who have attained a qualification at full level 2 or above. (An SME is an employer with fewer than 250 employees.)
- 42.7. A level-2 learning aim not classified as full and delivered in classroom learning.
- 42.8. A full level-3 qualification delivered through classroom learning for individuals who have attained full level 3 or above



42.9. A level-3 learning aim not classified as full and delivered in classroom learning or a level-4 learning aim delivered in classroom learning.

42.10. ESOL delivered in classroom learning.

### **Learners aged 24 or older for learning aims up to and including level 2**

42.11. Individuals on intermediate-level Apprenticeships (including Access to Apprenticeships)

42.12. Entry or level-1 aims (not English or maths) delivered through classroom learning

42.13. A full level-2 qualification delivered through classroom learning.

42.14. A full level-2 qualification delivered through workplace learning where the learner is employed by a small or medium-sized enterprise (SME). (An SME is an employer with fewer than 250 employees).

42.15. A non-full level-2 learning aim delivered through classroom learning.

42.16. ESOL delivered in classroom learning.

43. Learners continuing a learning aim or learning aims from 2012/2013 will continue to receive full funding as was decided in 2012/2013. This only applies to continuing learning aims or programmes. For example, a learner moving on from an Intermediate-level to an advanced-level Apprenticeship is classed as 'continued' learning and not 'continuing' and so the changes would apply to the new programme.

44. Learners with learning difficulties or disabilities who have a learning difficulty assessment (LDA) will receive full funding in all of the following circumstances.

44.1. If the learner is over 25 (see note 22) at the start of the 2013/2014 academic year and has not completed the learning programme set out in their LDA as meeting their needs.

44.2. If the learner is placed with an independent specialist provider (ISP) and they have a learning difficulty assessment which confirmed that the learner's needs could only be met by the ISP.

44.3. If the learner is following a programme of learning which is identified in their LDA as meeting their needs and they could not complete before reaching their 25th birthday because of an unavoidable delay in the learner beginning the programme.

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Note 22: The Education Funding Agency will fund those learners who reach 25 during the academic year 2013/2014. This does not affect our legal responsibilities for these learners.

44.4. If the learner will continue to make progress on the programme.

## Other information

### English and maths qualifications

45. Below we have set out the learning suite of learning aims defined as English and maths qualifications. All of these qualifications are fully funded unless they are delivered as part of a 19+ Apprenticeship. They have a programme weighting of 1.0 apart from entry-level maths which has a programme weighting of 1.3.

Type of qualification	Level
GCSE English Language (A* to C)	level 2
GCSE maths (A* to C)	level 2
Functional skills qualification in English and maths	entry level, level 1 and level 2
QCF English and maths qualifications and units	entry level, level 1 and level 2
Adult basic skills NQF Certificate in adult literacy (for continuing learners only and those enrolled on or before 31 August 2012)	entry level, level 1 and level 2
Adult basic skills NQF Certificate in adult numeracy (for continuing learners only and those enrolled on or before 31 August 2012)	entry level, level 1 and level 2
Units of SFL qualifications English and maths (for continuing learners only and those enrolled on or before 31 August 2012)	entry level, level 1 and level 2
Non-regulated English and maths learning aims	Pre-entry level, entry level, level 1 and level 2 based on National Literacy and Numeracy Standards

## ESOL Qualifications

46. The ESOL qualifications we fund are set out below:

Type of qualification	Level
GCSE English Language (A*-C)	level 2
Functional skills qualification in English	level 1 and level 2
New ESOL Skills for Life QCF qualifications	all levels
Adult basic skills NQF Certificate in ESOL (Skills for life)	entry level, level 1 and level 2 (level 1 and 2 only if new assessments for a reading unit are put in place and accredited by Ofqual)
Units of adult basic skills NQF Certificate in ESOL (Skills for Life) qualifications	entry level, level 1 and level 2 (level 1 and 2 only if new assessments for a reading unit are put in place and accredited by Ofqual)
Non-regulated ESOL learning aims	pre-entry level, entry level, level 1 and level 2

## Employer contributions in workplace learning

47. We fully fund all Apprenticeship frameworks that are started before an apprentice's 19th birthday. If the apprentice progresses onto another framework, we will also fund this fully if it also started before the apprentice's 19th birthday.

48. We co-fund all Apprenticeship frameworks started on or after the apprentice's 19th birthday, unless they are:

48.1. entitled to enhanced funding; or

48.2. are aged 24 or over and studying an advanced-level or higher Apprenticeship in which case they can apply for a Loan.

49. Expected employer contributions in Apprenticeships and all other workplace learning can be made in the form of cash or by contributions to delivering the activity (for example, by using the employer's own staff, premises, materials or equipment when delivering the Apprenticeship). This paragraph does not apply to Joint Investment Programme funding.

50. You must actively make sure that the employer knows the financial value of the Government's financial contribution to training their apprentices. This information must be provided at the start of the Apprenticeship and then at the beginning of each year (if appropriate). The information provided does not have to be too much of a burden. We expect the format

to be 'over the next academic year, Her Majesty's Government (HMG) will contribute £\*\*\* to [insert employee's name] Apprenticeship training'.

51. The employer contribution is mandatory if the learning is defined within scope of State Aid or is delivered through the Joint Investment Programme. You must be able to give us evidence that the employer has made their contribution.

## Large employers

52. We will continue to reduce by 25% the funding rate for Apprenticeship provision for those aged 19 and over and other workplace provision delivered to and by large employers. This applies to all learners aged 19 and over including apprentices, and includes those already on these programmes as well as new learners. However, learners who are funding their Apprenticeship with a 24+ Advanced Learning Loan will not have their rate adjusted due to the size of their employer. We define a large employer as one with 1000 employees or more.
53. This reduction does not apply to any apprentices who start an Apprenticeship before their 19th birthday, or to a learner of any age on an Access to Apprenticeship pathway.
54. We exclude registered charities, schools, colleges and universities from the rate reduction.
55. We provide a frequently asked questions document on the large employer rate, which gives more information.

## Ministry of Defence – enhanced learning credits

56. We will fully fund an individual studying their first full level-3 qualification if they left the British armed forces up to 10 years ago after completing four or more years of service or who has been medically discharged due to an injury in active service after completing basic training. This does not apply to Apprenticeship frameworks.
57. You must identify these learners by reporting learners with enhanced learning credits in the ILR using learning delivery monitoring code 128 in the learning delivery funding and monitoring fields.
58. The learner must also contact the Enhanced Learning Credits Administration Service who will confirm eligibility and send you proof of this.

## **Learner Support and Loans Bursary funding – considering other publicly funded benefits**

59. You must not use Discretionary Learner Support or Loans Bursary funds if other sources of funding are available.
60. From August 2011 all benefit claimants who have to carry out training (whether on a full-time or part-time basis) may have their travel and childcare costs met by Jobcentre Plus if this is relevant. Jobcentre Plus advisers will also decide whether to pay these expenses for people who access skills training on a voluntary basis.
61. You should ignore Disability Living Allowance when assessing disabled learners' income. This is so you avoid the risk of discrimination under the Disability Discrimination Act 1995.
62. The Social Security Amendment (Students and Income-related Benefits) Regulations 2000 set out how you should treat Discretionary Learner and Loans Bursary Support for benefit purposes. If a regular payment is made other than for living costs, it will be ignored and so will not affect the level of benefit to which the learner may be entitled. However, it is very important that you and the local authority make clear at the time you and they are making the payment to the learner the purpose for which the payment is given and whether it is one of a series, or a single lump-sum payment.
63. You may not use the funds to replace support already provided through national policy or legislation, for example, through state benefits. However, they can be used to provide temporary support with domestic emergencies and short-term emergency accommodation while the learner is waiting for benefit support.
64. You should be aware that Discretionary Learner Support and Loans Bursary funding falls within the definition of access funds for the purposes of Income Support (IS), Jobseeker's Allowance and Employment and Support Allowance. A learner receiving state benefits, for example Income Support or Housing Benefit, must declare if they received payments from Discretionary Learner Support or the Loans Bursary Fund.
65. The general rule is that if the payment is a lump-sum, one-off payment, it is treated as 'capital' (savings and investments). If it was intended for items covered by benefit, that is, food, ordinary clothing or footwear, household fuel, or rent for which Housing Benefit can be paid, the payment would count towards the person's total capital and would affect the benefit due if they had savings and investments of more than £6,000.
66. If the lump-sum payment was intended for other items, not covered by benefit, it would be ignored as capital for 52 weeks. If the learner received a series of payments, Jobcentre Plus would treat this as income. If the payments were intended for items covered by benefit, they would ignore

£20 a week and take the rest into account as the person's income and so reduce the amount of benefit due. If the payments were intended for other items not covered by benefit, they would be fully ignored.

## Learning Agreement

67. The Learning Agreement is the main evidence to prove that the learner funding has been claimed for exists and is eligible for funding, and of the learning to be provided. It allows you to show that the learner has confirmed the information supplied by them as correct and that the information you have reported to us in the ILR is correct.
68. Both the learner and you must confirm the information in the Learning Agreement before the end of the threshold period of funded learning. We will remove the funding if you and they do not provide this confirmation.
69. You must update the Learning Agreement as necessary. You must keep Learning Agreements safe.
70. A Learning Agreement is not necessarily a single document but can be a collection of documents and information brought together to form a single point of reference relating to the learning that is taking place. It may be in paper, electronic or a mixture of formats. For example, enrolment forms, ILR data capture forms, induction checklists, initial assessments, training plans, confirmation letters to learners, self-declarations, attendance records, copies of certificates, result forms and so on.
71. If you hold information for more than one learner centrally, such as result lists, you only need to refer to that central store. For example, if you provide evidence of confirmation of achievement using an awarding organisation's online database, you do not need to put a copy in the Learning Agreement. We only need you to record the data on achievement and refer to the source of that evidence.
72. While recognising that different types of learners may need different approaches, the Learning Agreement relating to funding must at least confirm the following:
  - 72.1. All information reported to us in the ILR, and if it applies, the supporting evidence of the data being reported
  - 72.2. The assessment of eligibility for funding and a record of the evidence provided by the learner which you have seen
  - 72.3. All initial, basic skills and diagnostic assessments
  - 72.4. For 'personalised learning programmes', for example non-accredited formal learning, we will need full details of all the aspects of the learning to be carried out

- 72.5. An outline of how the learning and skills will be achieved
  - 72.6. The assessment for the learner and employer contributions including the reason for full funding and the contribution to be made by the learner or employer
  - 72.7. The learning support identified through assessment provided to the learner
  - 72.8. Records of attendance to confirm they are still taking part in learning
  - 72.9. Learner Support provided to the learner, including the learner's application (if this applies) and details of how the payment will be made (grant or loan)
  - 72.10. Appropriate self-declarations on their status as a learner in terms of benefits, unemployment and gaining a job which are made by the learner
  - 72.11. A record and evidence of achievement which must be available within three months of you adding it to the ILR.
73. The Learning Agreement for an apprentice must also contain:
- 73.1. the apprentice's job role and the framework associated with it
  - 73.2. relevant experience and achievements both in and outside their current working role
  - 73.3. the learning and skills they have to carry out while on their Apprenticeship outside of named qualifications
  - 73.4. the name of the employer and the agreed contracted hours of employment, the total planned length of the Apprenticeship, and
  - 73.5. confirmation that an Apprenticeship Agreement is in place, plus a copy of the Apprenticeship Agreement, or confirmation that the employer has been told about their legal duty in terms of the Apprenticeship Agreement if a copy is not available.
74. If a subcontractor delivers any provision for the learner, they must clearly give your name as well as theirs. This must match the information reported to us in your ILR.
75. You must keep a Learning Agreement to show you have the evidence needed to support the funding claimed. The Learning Agreement must be proportionate to the length of the learning programme and the characteristics of the learner. You can combine Learning Agreements with other documents to prevent any unnecessary duplication, such as enrolment and induction material.

## Apprenticeships alternative completion conditions – occupations and frameworks

Specified occupation	Framework
Assistant to the camera crew Broadcast assistant Post-production assistant Post-production runner Production assistant Production runner	Creative and Digital Media (Advanced)
Technical illustrator Junior graphic designer	Design (Advanced)
Venue and stage crew	Live Events and Promotion (Advanced)
Venue and stage crew support	Live Events and Promotion (Intermediate)
Lighting technician	Technical Theatre (Advanced)
Lighting technician assistant	Technical Theatre (Intermediate)
Deckhand within the sea fishing industry Share fisherman within the sea fishing industry	Maritime Occupations

## Apprenticeships - alternative completion conditions – list of exempt sports

Aquatics (diving, swimming, synchronised swimming, water polo)	Golf	Skiing - freestyle
Archery	Gymnastics	Skiing – Nordic combined
Athletics	Handball	Skiing – ski jumping
Badminton	Hockey	Skiing - snowboarding
Baseball and softball	Ice hockey	Squash
Basketball	Ice sledge hockey	Table tennis
Biathlon	Judo	Taekwondo
Bobsleigh and skeleton	Luge	Tennis
Boccia	Modern pentathlon	Triathlon
Boxing	Netball	Volleyball
Bowls	Powerlifting	Weightlifting



Canoeing	Rowing	Wheelchair basketball
Curling	Sailing	Wheelchair curling
Cycling	Shooting	Wheelchair fencing
Equestrian	Sitting volleyball	Wheelchair tennis
Fencing	Snowsport	Wheelchair rugby
Football (5-a-side)	Skating (figure, short track, speed)	Women's football
Football (7-a-side)	Skiing - alpine	Women's rugby union
Goalball (British Blind Sport)	Skiing – cross country	Wrestling

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