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Education & Skills  
Funding Agency



Skills Funding  
Agency

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# 1. Introduction

This document sets out the process for making funding claims for the funding year 2016 to 2017 and applies to colleges and training providers:

- funded through a grant for their AEB
- funded through grant for adult apprenticeships
- funded through grant with an Advanced Learner Loans bursary contract
- with a learner support / DLS contract
- with a community learning contract

with a community learning mental health research project funding

Please read this document alongside the [Skills Funding Agency: common and performance-management funding rules 2016 to 2017](#).

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

When we refer to 'you' or 'providers', this includes colleges, training organisations, local authorities and employers that receive funding from us.

## 2. Adult education budget (AEB) funding claims

If you are funded through a financial memorandum or conditions of funding (grant) you must make a funding claim for delivery from your AEB.

You must make 3 funding claims during the year:

- a mid-year funding claim
- a year-end funding claim
- a final funding claim and statement of funding claimed

We set out the timelines for making these claims in the [deadlines for funding claims](#) section.

### 2.1 Completing and submitting your claims

You must complete and submit your funding claim from within the data collection area of the Hub. The form will become available to you after the close of the relevant individualised learner records (ILR) submission window (see the [deadlines for funding claims](#) section).

Your AEB funding claim will show relevant sections for you out of the following:

- other learning – programme funding
- other learning – learning support
- 19 to 24 traineeships – programme funding
- 19 to 24 traineeships – learning support
- 19 to 24 traineeships – learner support
- learner support – 19+ hardship
- learner support – 20+ childcare
- learner support – residential access funding
- learner support – administration costs
- community learning – funding

The actual delivery-to-date figures on the claim form in the Hub will be populated using the validated ILR data you have submitted where applicable. You will not be able to amend this data. For any none-ILR activity you will be able to enter your actual figures from your own records.

For learner support administration costs you cannot claim more than 5% of your 2015 to 2016 learner

support allocation.

You will have 4 working days to provide your mid-year and year-end funding claims including a forecast of any delivery during the remainder of the funding year.

You do not need to provide any supporting evidence with your funding claim form.

We will publish a technical guidance document giving further information on how to submit your funding claim.

You must provide realistic forecasts based on actual and/or expected demand in your mid-year and year-end funding claims.

If your auditor tells you that you must make an adjustment to your funding claim as a result of an audit, you must make the agreed adjustment using the earning adjustment statement (EAS). You must only make the adjustment in the claim form where you have been unable to make the agreed adjustment using the EAS for final claim.

In exceptional circumstances you may need to make an adjustment (an exceptional adjustment) to your final claim. You must have written approval from us before you enter any exceptional adjustments in your final claim.

## 2.2 Completing your final funding claim

For final funding claims you will have a further 3 days to sign and submit the statement of funding claimed within the [skills funding service \(SFS\)](#) following submission of your final funding claim. An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

Your reconciliation statement will be delayed if you do not submit your signed final funding claim by the deadline set out in the [deadlines for funding claims](#) section. This may impact on your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2016 to 2017.

## 2.3 Funding assurance audit

We will appoint audit firms to check that funding claims are accurate.

If the appointed auditors choose to audit your claim, we will tell you in the summer of 2017. You must provide a copy of the resulting audit report with your final funding claim.

You must make sure that you share all of your funding claims and ILRs with the appointed auditors well in advance, so that you can send us the audit report with your final funding claim.

## 2.4 Reconciliation statements

After you submit your year-end funding claim we will send you an 'indicative reconciliation statement' within

the [SFS](#). This will give you an indication of the funding you may need to pay back to us.

We will send you a final reconciliation statement within the SFS after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may need to pay back to us.

If you have to pay amounts back to us, we will schedule those repayments from January 2018.

If due to an exceptional circumstance you have an issue with your reconciliation value, you must tell us by 31 January 2018. We will not consider any requests after this date.

## 2.5 Exceptional learning support (ELS)

You must record any learning support costs over the national rate and up to £19,000 through the EAS. You must use your provider funding report to work out your actual delivery.

You must claim for any learning support costs over £19,000 through the ELS claim process set out on the [learners with learning difficulties and/or disabilities page](#) of GOV.UK.

## 3. Adult apprenticeships funding claims

If you are funded through a financial memorandum or conditions of funding (grant) you must make funding claims for delivery from your 19+ apprenticeships.

You must make 3 funding claims:

- a mid-year funding claim
- a year-end funding claim
- a final funding claim and statement of funding claimed.

We set out the timelines for making these claims in the [deadlines for funding claims](#) section.

### 3.1 Completing and submitting your claims

You must complete and submit your funding claim within the data collection area of the Hub. The form will become available to you after the close of the relevant ILR submission window.

Your 19+ apprenticeships funding claim will show relevant sections for you out of the following:

- 19 to 23 apprenticeships – programme funding
- 19 to 23 apprenticeships – learning support
- 24+ apprenticeships – programme funding
- 24+ apprenticeships – learning support
- 19+ apprenticeships – learner support
- 19 to 23 trailblazer apprenticeships – programme funding
- 19 to 23 trailblazer apprenticeships – learning support
- 24+ trailblazer apprenticeships – programme funding
- 24+ trailblazer apprenticeships – learning support

The actual delivery-to-date figures on the claim form in the Hub will be populated using the validated ILR data you have submitted where applicable. You will not be able to amend this data. For any none-ILR activity you will be able to enter your actual figures from your own records.

You will have 4 working days to provide your mid-year and year-end funding claims including a forecast of any delivery during the remainder of the funding year.

You do not need to provide any supporting evidence with your funding claim form.

We will publish a technical guidance document giving further information on how to submit your funding claim.

You must provide realistic forecasts based on actual and/or expected demand in your mid- year and year-end funding claims.

If your auditor tells you that you must make an adjustment to your funding claim as a result of an audit, you must make the agreed adjustment using the EAS. You must only make the adjustment in the claim form where you have been unable to make the agreed adjustment using the EAS for final claim only.

In exceptional circumstances you may need to make an adjustment (an exceptional adjustment) to your final claim. You must have written approval from us before you enter any exceptional adjustments in your final claim form.

## **3.2 Completing your final funding claim**

For final funding claims you will have a further 3 days to sign and submit the claim within SFS following submission of your final funding claim. An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

Your reconciliation statement will be delayed if you do not submit your final funding claim and statement of funding claimed by the [deadline we have set](#). This may impact on your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2016 to 2017.

## **3.3 Funding assurance audit**

We will appoint audit firms to check that funding claims are accurate.

If the appointed auditors choose to audit your claim, we will tell you in the summer of 2017. You must provide a copy of the resulting audit report with your final funding claim.

You must make sure that you share all of your funding claims and ILRs with the appointed auditors well in advance, so that you can send us the audit report with your final funding claim.

## **3.4 Reconciliation statements**

After you submit your year-end funding claim we will send you an 'indicative reconciliation statement' within the [SFS](#). This will give you an indication of the funding you may need to pay back to us.

We will send you a final reconciliation statement within the SFS after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may need to pay back to us.

If you have to pay amounts back to us, we will schedule those repayments from January 2018.

If due to an exceptional circumstance you have an issue with your final reconciliation value, you must tell us by 31 January 2018. We will not consider any requests after this date.

### **3.5 Exceptional learning support (ELS)**

You must record any learning support costs over the national rate and up to £19,000 through the EAS. You must use your provider funding report to work out your actual delivery.

You must claim for any learning support costs over £19,000 through the ELS claim process set out on the learners with learning difficulties and/or disabilities page of GOV.UK.

## **4. Advanced learner loans bursary funding claims**

If you are funded through a grant and have an Advanced learner loans bursary (ALLB) funding allocation, you must make 3 funding claims:

- a mid-year funding claim
- a year-end funding claim
- a final funding claim and statement of funding claim

We set out the timelines for making these claims in the [deadlines for funding claims](#) section.

### **4.1 Completing and submitting your claims**

You must complete and submit your funding claim within the data collection area of the Hub. The form will become available to you after the close of the relevant ILR submission window.

Your advanced learner loans bursary funding claim will show relevant sections for you out of the following:

- bursary funding
- hardship
- childcare
- residential access fund
- area costs
- exceptional claims
- administration costs

For ALLB funding, area costs and exceptional claims, the actual delivery-to-date column of your digital funding claim form will be populated based on the validated ILR data and earning adjustments statements you have submitted. You will not be able to amend this data.

For those boxes that are not pre-populated you must provide:

- your actual delivery to date
- for your mid-year and year-end funding claim, a forecast of any delivery during the remainder of the funding year

You will have 4 working days to provide your final claim, actual delivery to date for those deliverables that are not populated.

You do not need to provide any supporting evidence with your funding claim form.

We will publish a technical guidance document giving further information on how to submit your funding claim.

The forecast you provide in your mid-year funding claim must be realistic and based on actual and expected demand.

You can claim up to 5% of your loans bursary expenditure against hardship, childcare and residential access fund on administration costs. However, your administration costs must not be more than 5% of the value of the loans bursary funding.

## 4.2 Completing statement of funding claimed on the Hub

For final funding claims you will have a further 3 days to sign and submit the claim within the [SFS](#). An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

Your reconciliation statement will be delayed if you do not submit your final funding claim and statement of funding claimed by the [deadline we have set](#). This may impact your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2016 to 2017.

## 4.3 Reconciliation statements

We will send you a final reconciliation statement within the SFS after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may be required to pay back to us.

If you have to pay amounts back to us, we will schedule those repayments from January 2018.

If due to an exceptional circumstance you have an issue with your final reconciliation value, you must tell us by 31 January 2018. We will not consider any requests after this date.

## 5. Discretionary learner support funding claim

If you are funded through a contract and have a Discretionary learner support (DLS) funding allocation, you must make 3 funding claims:

- a mid-year funding claim

a year-end funding claim

- a final finding claim and statement of funding claimed

We set out the timelines for making these claims in the [deadlines for funding claims](#) section.

## 5.1 Completing and submitting your claims

You must complete and submit your funding claim within the data collection area of the Hub. The form will become available to you after the close of the relevant ILR submission window.

Your discretionary learner support funding claim will show relevant sections for you out of the following:

- 19+ hardship
- 20+ childcare
- residential access fund
- administration costs

In each section you complete, you must provide:

- your actual delivery to date
- for your mid-year and year-end funding claim, a forecast of any delivery during the remainder of the funding year

You will have 4 working days to submit your mid-year funding claim, including your actual delivery to date and any remaining forecast delivery and 4 working days to submit your final funding claim, including actual delivery date.

You do not need to provide any supporting evidence with your funding claim form.

We will publish a technical guidance document giving further information on how to submit your funding claim.

The forecast you provide in your mid-year funding claim must be realistic.

You can use up to 5% of your total DLS funding allocation on administration costs. You must declare this in your funding claims.

## 5.2 Completing your final funding claim

For final funding claims you will have a further 3 days to sign and submit the claim within the [SFS](#). An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

Your reconciliation statement will be delayed if you do not submit your final funding claim and statement of funding claimed by the [deadline we have set](#). This may impact your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2016 to 2017.

## 5.3 Reconciliation statements

We will send you a final reconciliation statement within SFS after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may be required to pay back to us.

If you have to pay amounts back to us, we will schedule those repayments from January 2018.

If due to an exceptional circumstance you have an issue with your final reconciliation value you must tell us by 31 January 2018. We will not consider any requests after this date.

## 6. Community learning funding claims

If you are funded through a contract and your AEB allocation includes community learning you must make 3 funding claims:

- a mid-year funding claim
- a year-end funding claim
- a final finding claim and statement of funding claimed

We set out the timelines for making these claims in the [deadlines for funding claims](#) section.

If you are funded through a grant and your AEB allocation includes community learning – please refer to section 2 and 2.1.

### 6.1 Completing and submitting your claims

You must complete and submit your funding claim within the data collection area of the Hub. The form will become available to you after the close of the relevant ILR submission window.

You will have 4 working days to submit your funding claim, including your actual delivery to date and any remaining forecast delivery.

You do not need to provide any supporting evidence with your funding claim form.

We will publish a technical guidance document giving further information on how to submit your funding claim.

The forecast you provide in your mid-year and year-end funding claim must be realistic.

### 6.2 Completing your final funding claim

For final funding claims you will have a further 3 days to sign and submit the claim within the [SFS](#). An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

Your reconciliation statement will be delayed if you do not submit your final funding claim and statement of funding claimed by the [deadline we have set out](#). This may impact your ability to submit your final

accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2016 to 2017.

### **6.3 Reconciliation statements**

We will send you a final reconciliation statement within the SFS after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may be required to pay back to us.

If you have to pay amounts back to us, we will schedule those repayments from January 2018.

If due to an exceptional circumstance you have an issue with your final reconciliation value you must tell us by 31 January 2018. We will not consider any requests after this date.

## **7. Community learning mental health research project funding claims**

If you have a mental health research project funding allocation, you must make 3 funding claims:

- a mid-year funding claim
- a year-end funding claim
- final finding claim and statement of funding claimed

We set out the timelines for making these claims in the [deadlines for funding claims](#) section.

### **7.1 Completing and submitting your claims**

You must complete and submit your funding claim within the data collection area of the Hub. The form will become available to you after the close of the relevant ILR submission window.

You will have 4 working days to submit your funding claim, including your actual delivery to date and any remaining forecast delivery.

You do not need to provide any supporting evidence with your funding claim form.

We will publish a technical guidance document giving further information on how to submit your funding claim.

The forecast you provide in your mid-year and year-end funding claim must be realistic.

### **7.2 Completing your final funding claim**

For final funding claims you will have a further 3 days to sign and submit the claim within the [SFS[(<https://skillsfunding.service.gov.uk/>)]. An individual person must sign the claim form on behalf of your individual. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

Your reconciliation statement will be delayed if you do not submit your final funding claim and statement of funding claimed by the [deadline we have set out](#). This may impact your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2016 to 2017.

## 7.3 Reconciliation statements

We will send you a final reconciliation statement within the SFS after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may be required to pay back to us.

If you have to pay amounts back to us, we will schedule those repayments from January 2018.

If due to an exceptional circumstance you have an issue with your final reconciliation value you must tell us by 31 January 2018. We will not consider any requests after this date.

## 8. Deadlines for funding claims

Funding	Funding claim	Deadline to provide individualised learner records (ILR)	Deadline to submit funding claim	Deadline to sign final claim
Adult education budget	Mid-year funding claim	06-Feb-17	10-Feb-17	
	Year-end funding claim	14-Sep-17	20-Sep-17	
	Final funding claim (with audit report where necessary)	19-Oct-17	25-Oct-17	30-Oct-17
19+ apprenticeships	Mid-year funding claim	06-Feb-17	10-Feb-17	
	Year-end funding claim	14-Sep-17	20-Sep-17	
	Final funding claim (with audit report where necessary)	19-Oct-17	25-Oct-17	30-Oct-17
Advanced learner loans bursary	Mid-year funding claim	06-Feb-17	10-Feb-17	
	Year-end funding claim	14-Sep-17	20-Sep-17	
	Final funding claim	19-Oct-17	25-Oct-17 30-Oct-17	
Discretionary learner support	Mid-year funding claim	06-Feb-17	10-Feb-17	
	Year-end funding claim	14-Sep-17	20-Sep-17	
	Final funding claim	19-Oct-17	25-Oct-17	30-Oct-17

Community learning	Mid-year funding claim	06-Feb-17	10-Feb-17	
	Year-end funding claim	14-Sep-17	20-Sep-17	
	Final funding claim	19-Oct-17	25-Oct-17	30-Oct-17
Mental health research project	Mid-year funding claim	06-Feb-17	10-Feb-17	
	Year-end funding claim	14-Sep-17	20-Sep-17	
	Final funding claim	19-Oct-17	25-Oct-17	30-Oct-17

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