

Funding Rules 2012/13

Version 3

Addendum

Bcj Ya VYf 2012

Of interest to Providers



European Union
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Introduction

This document sets out amendments to the Funding Rules 2012/13 Version 3. These amendments form part of the terms and conditions of the funding agreements between the Chief Executive of Skills Funding and all Providers of education and training in receipt of funding from the Chief Executive of Skills Funding.

We will apply the changes to the funding rules from 1 December 2012. They apply to all learners who start on or after that date. For those who started before 1 December 2012, the funding rule changes can only be applied to learning support activity started on or after that date.

An explanation of each amendment is given but these explanations do not form part of the Funding Rules. The changes to the current Funding Rules have been identified by underlining and the explanatory paragraphs are in *italics*.

Principles of Evidence - Evidence Requirements

In addition to the Learning Agreement:

Reference paragraph 10 – From 1 August 2012 the date of achievement of an Apprenticeship Framework is the date on which both the apprentice and the provider sign the [Apprenticeship Declaration and Authorisation Form](#). If these are signed on different dates, it is the latter of the dates that is applicable. The provider has up to three months to receive and keep a copy of the Apprenticeship Completion Certificate from Apprenticeship Certificate England. If after three months a certificate has not been issued and received by the Provider, the record of Apprenticeship achievement must be removed and updated in the ILR data held by us.

This clarification of the evidence required for Apprenticeship achievement takes into account the changes that have been introduced to the process of claiming an Apprenticeship Completion Certificate through Apprenticeship Certification England. It acknowledges that there is a period of time after the completion of an Apprenticeship Framework that is only administrative, during which no learning takes place and stops an apprentice from moving onto the next level. Providers will need to be mindful that the requirements to meet minimum durations for all apprentices are not changed by this additional clarification.

Qualifications within the Adult Skills Budget

27. The core of the publicly-funded offer must be vocational qualifications drawn down from the Qualifications and Credit Framework (QCF). Awards at Levels 2 and 3 are only available as part of the offer for unemployed people or where they are Trade Union Congress (TUC) learning aims being studied by Trade Union representatives. Non-vocational QCF qualifications should only be offered at Entry and Level 1.

This amendment is to reflect that certain awards are now eligible for funding where they are TUC learning aims being studied by Trade Union representatives.

Exceptional ALS (eALS) Claims above £19,000

130. Providers must:

130.5 submit payment claims for Learners' eALS in 2012/13 by ~~30~~ 15 November 2013.

This amendment is to reflect that the deadline for eALS claims is 15 November 2013 in line with the Final Funding Claim.

Additional Learning Support (ALS) in Apprenticeships and classroom learning delivered by training organisations using Funding Model 45

There are three categories of ALS that are funded by the Agency for Apprenticeships and classroom learning delivered by training organisations funded through Funding Model 45. These are: Additional Learning Needs¹ (ALN), Additional Social Needs² (ASN), and both ALN and ASN. In addition to making funding available for these categories, the Agency will meet exceptional costs that are likely to exceed the notified threshold, when calculated using estimated costs, over the full length of the programme. Provision of specialist support and equipment for apprentices and Learners with disabilities will also be met from Exceptional Learning Support (ELS).

The title of this section and the text box have been amended to reflect that ALS can be claimed for both apprentices and classroom learners funded through Funding Model 45.

132. Providers must have evidence of the ALS they have given to each apprentice or Learner in respect of whom a claim for ALS has been made. The focus for audit will be on naturally-occurring evidence generated by the Provider's process.

The word 'Learner' has been included to clarify that ALS may also be claimed for classroom learners funded through Funding Model 45.

133. Funding is made available to Providers to support additional activity with apprentices or Learners where they are assessed as being below Level 4 literacy English and/or numeracy maths. It must not be used as additional funding for apprentices or Learners on Key/Functional Skills Basic Skills qualifications where no additional support is required.

This amendment is to reflect that Providers can now claim funding to support additional activity for apprentices or Learners doing classroom activity funded through Funding Model 45 where they are assessed as being below Level 2 in English and/or maths rather than being below Level 1 English and/or maths as in previous years. The words literacy and numeracy have been replaced with English and maths to bring the terminology in line with the rest of the Funding Rules document. The words Key/Functional skills have been replaced with Basic Skills qualifications to reflect the range of qualifications that Learners could be undertaking.

¹ Needs related to the apprentice's intrinsic ability.

² Needs related to emotional, behavioural or motivational difficulties.

Assessment for Additional Learning Needs in Apprenticeships (ALN)

135. Where some apprentices or Learners have ALN that are over and above those of ~~literacy~~ English and ~~numeracy~~ maths and relate to other needs, Providers must demonstrate that despite the initial assessment not indicating a need, they have other evidence that confirms there is a need for ALN support.

The word 'Learner' has been included to clarify that ALN may be claimed for classroom learners funded through Funding Model 45. The words literacy and numeracy have been replaced with English and maths to bring the terminology in line with the rest of the Funding Rules document.

Assessment for Additional Social Needs (ASN)

136. The assessment process used by Providers must consider an apprentice's or Learner's social support needs. Providers must identify the barriers to learning. If there is clear evidence that the apprentice or Learner has needs relating to ~~two or more~~ any of the ten barriers defined at [Annex 2](#) then the apprentice or Learner qualifies for ASN.

This amendment is to reflect that an apprentice or Learner now qualifies for ASN if there is clear evidence that they have needs relating to any of the ten barriers defined in Annex 2 rather than two or more of the barriers as in previous years. The word 'Learner' has been included to clarify that ASN may be claimed for classroom learners funded through Funding Model 45.

Meeting and Reviewing Identified Needs

137. Having identified ALN or ASN, the Provider must plan and deliver a programme of activity designed to address the apprentice's or Learner's needs. In the case of ALN this must include addressing ~~literacy~~ English and ~~numeracy~~ maths skills needs where these affect the apprentice's or Learner's ability to achieve their primary learning goal.

The word 'Learner' has been included to clarify that ALN/ASN may be claimed for classroom learners funded through Funding Model 45. The words literacy and numeracy have been replaced with English and maths to bring the terminology in line with the rest of the Funding Rules document.

138. It is the Provider's responsibility to demonstrate how the outcomes of the assessment process have informed the development of an appropriate ALS plan for each apprentice or Learner.

The word 'Learner' has been included to clarify that ALN/ASN may be claimed for classroom learners funded through Funding Model 45.

ALN/ASN Funding

139. Where an apprentice or Learner is assessed as requiring support due to ALN or ASN or both, the Agency will fund activity on top of the monthly payment for each month the apprentice or Learner stays in learning between the Learner's start date and planned end date, providing the following conditions are met:
- 139.1. the assessment has been conducted in line with these rules
 - 139.2. the Provider holds evidence of the assessment of the needs
 - 139.3. a planned programme of additional support is included in the apprentice's or Learner's Learning Agreement
 - 139.4. the programme of activity is being delivered and evidenced
 - 139.5. the arrangements are reviewed a minimum of once every 12 weeks.

The word 'Learner' has been included to clarify that ALN/ASN may be claimed for classroom learners funded through Funding Model 45.

140. Where the ALN/ASN status is recognised after the start date or ceases before the planned end date, Providers must close the current learning aims to which ALN and/or ASN is or is not attached and open a new aim. The percentage of funding remaining for the apprentice or Learner is to be calculated and entered on to the ILR in field 'Proportion of funding remaining'. Refer to the ILR Provider support manual for further information about recording changes in ALN/ASN status for a Learner.

The word 'Learner' has been included to clarify that ALN/ASN may be claimed for classroom learners funded through Funding Model 45.

Exceptional Learning Support in Apprenticeships

It is recognised that certain apprentices or Learners, who have been diagnostically assessed, need additional support from their Provider to access or continue in learning, but the payment of a monthly fee through ALS is deemed inappropriate. In the majority of cases this is because the apprentice or Learner only needs support for a short amount of time and the costs are greater than a monthly payment would fund. Providers can claim for brief episode Exceptional Learning Support (ELS) costs where this is appropriate.

The title of this section has been amended to clarify that Exceptional Learning Support is available for classroom learners funded through Funding Model 45 as well as apprentices. The word 'Learner' has been included in the text box to clarify that Exceptional Learning Support may also be claimed for classroom learners funded through Funding Model 45.

ALS Top-Up in Apprenticeships and classroom learning delivered by training organisations using Funding Model 45

The ability to top up ALS monthly payments will continue as in previous years. This is where the monthly ALS payments are insufficient to meet the support needs of an individual or that support is needed over more than three months but is greater than the monthly payments.
It may also be used where learning continues past the planned end date and the apprentice or Learner still requires additional support.

The title of this section has been amended to clarify that ALS Top-Up is available for classroom learners funded through Funding Model 45 as well as apprentices. The word 'apprentice' has been included to clarify that ALS Top-Up may be claimed for apprentices and classroom learners funded through Funding Model 45.

Annex 2 – Funding Rates and Enhancements – Technical Information

Apprenticeships- Alternative Completion Conditions – List of Exempt Sports

The following sports are added to the table of exempt sports:

Women's Football

Women's Rugby Union

Wrestling

Workplace learning Apprenticeships and classroom learning delivered through the Employer Responsive funding model

24. ASN may be funded for an apprentice or Learner where ~~two from the following list applies or where one is significant~~ they have a need arising from one of the following circumstances:

- recent or current offending behaviour
- poor or erratic attendance during the last year of education, exclusion from school or no record of school
- an unsupportive or unsupported home environment
- significant problems with confidence or self-esteem
- significant problems with motivation or attendance (on a programme)
- attitude or behavioural problems
- drug or alcohol problems
- health problems (including mental health or phobias)
- significant problems with communication and interaction
- single parents with particular difficulties finding time to learn.

This amendment is to reflect that ASN may be claimed for classroom learners funded through Funding Model 45 (not just apprentices) and that this can now be funded where only one of the above criteria applies.

