

# Funding Guidance 2010/11: Funding Regulations

**It updates and replaces for 2010/11 the former Learning and Skills Council (LSC) Funding Guidance 2009/10.**

**Of interest to local authorities, providers and other stakeholders involved in managing and delivering YPLA funded provision**

June 2010

Version 1a

In this version the executive summary and paragraphs 1 to 5 and paragraph 16 have been amended to take into account changed funding payment arrangements from 1 August 2010.

** For information**

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# Executive Summary

## Young People's Learning Agency Funding Guidance 2010/11

The Apprenticeship, Skills, Children and Learning Act (2009) established a new context for the funding arrangements for young people.

The National Commissioning Framework, published by the Young People's Learning Agency (YPLA) in April 2010 has been withdrawn following guidance from the Secretary of State and is no longer being applied from 1 August 2010.

This document sets out the national funding arrangements for young people's learning determined by the YPLA for 2010/11.

It updates the former Learning and Skills Council (LSC) *School Sixth Form Funding Guidance 2009/10* and *Funding Guidance 2009/10*. This document is part of a series of booklets, under the main heading *YPLA Funding Guidance 2010/11* (each separate document is listed below), and outlines the main features of the YPLA funding arrangements for 2010/11. Additional guidance on particular aspects of funding can be found in the other booklets in the series.

- *Funding Rates and Formula*
- *Learner Eligibility Guidance*
- *Funding Regulations* (this book)
- *Additional Learning Support*
- *ILR Funding Returns*
- *Partnership Provision Controls Guidance*

These booklets, as they are published, will be available from the YPLA website at: <http://www.ypla.gov.uk/aboutus/ourwork/funding/df>.

Further information concerning the School Census 2010/11 preparation and guidance can be found on the Teachernet website at: <http://www.teachers.gov.uk/management/ims/datacollections/sc2010/>.

The YPLA's general approach and strategic priorities for funding for all providers in 2010/11 is set out in 16-19 *Statement of Priorities and Investment Strategy 2010/11*. The YPLA does not intend to restate the policy framework and imperatives in *YPLA Funding Guidance 2010/11* and therefore all Funding Guidance documents should be read in conjunction with the 16-19 *Statement of Priorities and Investment Strategy 2010/11*. This reduces the risk of duplication in YPLA Funding Guidance documents.

This document, called *Funding Regulations* is an integral part of the YPLA's funding agreements, for reference and information. This document is set out in sections and annexes.

- **Section 1: Introduction and Background** provides an introduction to the document
- **Section 2: Principles and Conditions of Funding** states the key funding principles and conditions that apply to the use of all YPLA funding
- **Section 3: Eligibility** states the key funding eligibility rules that apply to the use of all YPLA funding
- **Section 4: Definitions, Qualifications and Terms** states some key guidance on a variety of funding issues
- **Section 5: Learner Support** explains how to access learner support funding
- **Annex A: Acronyms and Glossary** provides an explanation of the terms used in the document
- **Annex B: Withdrawals**
- **Annex C: Summary for School Sixth Forms of Funding Eligibility**
- **Annex D: School Sixth Form – Funding Data Arrangements**
- **Annex E: Foundation Learning**

The guidance in this document and all other *YPLA Funding Guidance 2010/11* documents is the definitive YPLA guidance and takes precedence over any other separate documents. These documents describe the existing funding methodology and supersede any previous funding guidance.

For any further information, please contact the appropriate Local Authority or YPLA office. Contact details for each YPLA office can be found on the YPLA website ([www.ypla.gov.uk](http://www.ypla.gov.uk)).

In Version 1a paragraphs 1 to 5 and 16 have been updated to reflect the changes in funding body payment processes from 1 August 2010.

### **Intended recipients**

Of interest to local authorities, providers and other stakeholders involved in managing and delivering YPLA funded provision

# 1: Introduction and Background

## Introduction

1. The Apprenticeship, Skills, Children and Learning Act (2009) established a new context for the funding arrangements for young people.
2. The National Commissioning Framework, published by the Young People's Learning Agency (YPLA) in April 2010 has been withdrawn following guidance from the Secretary of State and is no longer being applied from 1 August 2010.
3. The national funding methodology has been used to determine the funding allocations for 2010/11. These allocations were made by the Learning and Skills Council (LSC) before the end of March 2011 and have since been confirmed by the YPLA for all individual providers. The Funding Guidance covers all 16-18 funding provided by the YPLA. Separate funding arrangements apply for 16-18 Apprenticeships, through the National Apprenticeship Service and Skills Funding Agency.

## Background

4. This document sets out the YPLA Funding Guidance for all funded programmes in 2010/11 (referred to here after as 'the Guidance'). All providers that receive funding from the YPLA (either directly or through LAs) for provision that falls within the scope of this document as defined in paragraph 10 below are required to comply with the Guidance.
5. Directly funded YPLA providers should treat the YPLA regional office as their funding body for any queries on this guidance. For all YPLA provision where funding is paid by the YPLA to LAs (usually local authority maintained school provision) the LAs should usually be treated as their funding body for any queries on this guidance.
6. To simplify the YPLA Funding Guidance in all separate books or documents the single term 'providers' will be used instead of a constant reference to schools, academies, colleges and other providers. The individual type(s) will be used only where the Guidance applies only to that specific type(s) of provider. Similarly the single term 'learners' is used as a constant reference to guidance applying to all learners, students and pupils. The term 'pupils' is only used where the guidance solely relates to provision delivered in school sixth forms or academies.
7. The information given in this document provides details of the YPLA's approach to programme funding in 2010/11. This Guidance will operate in the wider policy contexts of the 16-19 *Statement of Priorities and Investment Strategy 2010/11*.
8. YPLA funding is paid on a teaching year basis with each funding year starting 1 August and ending on 31 July. Local authorities (LAs) pay

schools on a standard Treasury or LAs financial year basis, usually starting 1 April and ending 31 March.

9. Definitions of the terms used in this document are set out in Section 4 and a list of useful Acronyms is included in 'Annex A: Acronyms and Glossary'. Annexes B and C relate only to provision delivered by school sixth forms whose data is returned through the school census return.

## Scope of this document

10. This document states the YPLA funding regulations for provision to eligible learners in 2010/11 who meet the following criteria:
  - Conform to the learner eligibility requirements as set out in paragraphs 19-24 in companion document *Learner Eligibility Guidance*; and
  - are aged 16-18; or
  - are aged 19-24 and have a Learning Difficulty Assessment (LDA) and have Additional Learning Support (ALS) needs over £5,500 and for whom the YPLA has agreed to fund.
11. This document should be read in accordance with the document 16-19 *Statement of Priorities and Investment Strategy 2010/11*. This document is being issued for the first time shortly after the new Government took office in May 2010. All guidance in this document will continue to apply unless indicated otherwise, but may not reflect future Government policy.
12. At the time of publication all the web links in this document were correct and a separate document will be loaded on the YPLA funding guidance website page listing all web links in all funding guidance documents that will then be updated as any changes occur rather than amending individual documents simply for any web link changes. The DfE website home page is: <http://www.education.gov.uk/> and the YPLA funding document web page is: <http://www.ypla.gov.uk/aboutus/ourwork/funding/df/>.

## 2: Principles and Conditions of Funding

### Principles of Funding Learning

13. The national funding formula used by the YPLA to fund its provision reflects the nationally assessed directly incurred costs of efficiently delivered provision (with an appropriate contribution to overheads).
14. All YPLA-funded provision delivered by providers should reflect that:
  - funding is recorded at standard learner number (SLN) rates that reflect the costs of delivery and ensure that multiple funding for provision does not occur;
  - ensure that duplication of provision in a learner's programme of study is avoided and, where this occurs because of an overlap in learning aim content, adjust the funding recorded to reflect the degree of overlap;
  - discuss with their funding body what funding should be recorded in circumstances where the calculation of funding to be recorded results in a level of funding that is clearly well in excess of the costs incurred;
  - discuss with their funding body what funding should be recorded where providers wish to make provision that is in the best interests of their learners but the standard funding arrangements are viewed as a barrier;
  - avoid recording YPLA funding for any part of any learner's programme of study that duplicates that received from any other source, for example funding from either the Skills Funding Agency, Higher Education Funding Council for England (HEFCE) or from any other source;
  - only record funding for learners assessed as eligible for YPLA funding as stated in the companion document *Learner Eligibility Guidance*.
15. To ensure that the costs of efficiently delivered provision are reflected in the national SLN values and in national rates, the YPLA gathers and reviews the evidence available that relates to such costs.

### Funding Agreements and Conditions

#### Funding agreements

16. In general, the YPLA will enter into grant agreements with individual providers paid directly by the YPLA and with each LA for their maintained

school provision. The grant agreement will set out the funds that the YPLA has agreed to pay for the education and training provision expected to be delivered in return for that funding. These include YPLA conditions in respect of charges that may be made to learners for their provision.

### **Funding Conditions in respect of charges to learners**

17. The YPLA will attach conditions to its grant funding in accordance with the following guidance by the Secretary of State.
  - a. Tuition fees shall not be charged to learners aged 16–18 in full-time or part-time education. The Department for Education (DfE) has advised that ‘no fee should be charged to learners aged 16–18 for instrumental tuition which is part of the syllabus for a prescribed public examination’, which includes music qualifications on the Section 96 list. For the purposes of the funding agreement, ‘18’, means ‘under 19 on 31 August in the teaching year when the learner commences a programme of study’. It is intended that such learners should continue to receive free tuition in any consecutive subsequent year of study on the same programme.
  - b. No compulsory enrolment, registration or examination fees shall be charged to learners aged 16–18 in full-time or part-time education. Providers will, however, be able to seek voluntary contributions from learners or their sponsors.
    - i) Providers would be able to apply reasonable conditions of attendance in order to qualify for free examination entry.
    - ii) Providers will be able to charge for examinations and re-sits as follows:
      - o Where the required attendance or completion of work has not been completed.
      - o Where the learner fails without good reason to sit the examination for which the provider has paid.
      - o Where a learner re-sits an examination resulting from an initial examination failure.
      - o Where a learner re-sits an exam with the aim of achieving marginal improvements in grades.
    - iii) Providers should ensure that requirements for attendance and coursework are applied reasonably. Absences or non-completion of coursework because of illness or other acceptable reasons should not be grounds for charging.

- iv) Requests for voluntary contributions must make it clear that there is no obligation to contribute, and that learners would not be treated differently according to whether they or their sponsors have made any contribution in response to the request. Any request for voluntary contributions needs to be adequately communicated in advance of the activity taking place.
- v) The prohibition on charging will not apply to other charges, for example relating to equipment, special clothing or materials for vocational-learning aims. Where clothing or equipment is necessary for the learner's health or safety, a charge may be made for clothing and equipment that the learner retains, but only if the learner also has the option of borrowing the clothing or equipment free of charge.
- vi) Similarly, the prohibition on charging does not apply to the sale of learning materials in bookshops, or similar facilities in institutions, that enable students to secure discounts on books, stationery or similar materials.
- vii) Some charges are not defined as fees, and therefore fall outside the scope of this condition. Fines and deposits are not fees. Examples include fines for the late return of library books or other disciplinary fines (provided such penalties have been made known in advance); and deposits on lockers, ID cards, keys, library cards or smartcards and equipment that are fully refundable except in cases of damage or theft.
- viii) Providers may charge learners who require additional administrative services that result in extra expense for the provider and that are consequences of a learner being in default and could therefore have been avoided. Examples are charges for replacement of lost items such as keys, ID cards, library cards and smartcards.
- ix) Charges for photocopying and printing, including computer printouts, are not fees as long as they are not course-specific, are optional and there are alternative sources for these services.
- x) Providers may charge learners for the recreational use of leisure and other non-academic facilities where the activity taking place is not a requirement of a course syllabus or not part of a student union membership free entitlement.
- xi) Charges may continue to be made for the travel, board and lodging and other additional costs, including any tuition costs, associated with field trips and similar activities that may form part of or be outside the requirement of the course syllabus or agreed learning programme.

- xii) Charges may be made for optional extra activities where the activity is taking place outside a required part of an agreed learning programme, and charging is at the discretion of the provider that would otherwise meet the cost of provision. Examples of optional extra activities include theatre, cinema or museum visits or other day or residential visits that are not a requirement of course syllabuses.
  - xiii) There is no requirement to charge for optional extras. The provider funding the activity is free to determine whether any charge should be made for it and, if so, how much should be charged and to whom.
- c. For any provision funded by the YPLA for learners with learning difficulties or disabilities aged 19 to 24 or over the following apply.
- i) No tuition fees shall be charged to learners aged 19 or over studying towards their first full level 2 qualification.
  - ii) No tuition fees shall be charged to learners aged 19 or over but under 25 studying towards their first full level 3 qualification.
  - iii) No tuition fees shall be charged to learners aged 19 or over studying towards level 1 literacy and/or entry level 3 numeracy qualifications. In addition, eligible learners accessing level 1 literacy or entry level 3 numeracy will not have to pay fees in respect of assessment or examination.
  - iv) No tuition fees shall be charged to learners aged 19 or over but under 25 that are eligible for fee remission in accordance with the companion document *Learner Eligibility Guidance* Section 4 and paragraph 102 points D to K in particular.

## 3: Eligibility

### Learner Eligibility

18. The detail of learner eligibility criteria are set out in the already published companion document *Learner Eligibility Guidance*. The rules on eligibility for young people are broadly similar to the pre-16 school eligibility rules and learners will consistently be either eligible or ineligible for YPLA funding at all provider types.
19. Providers are required to ensure that all learners for whom they record YPLA funding are eligible under the guidance set out in *Learner Eligibility Guidance*, which forms part of their compliance with the guidance set out in this document.
20. Providers are reminded that eligibility to participate in a programme should not be confused with the suitability of the programme for a learner's needs. The YPLA expects providers to be able to demonstrate educational progression for learners recruited onto programmes funded by the YPLA and to be able to give evidence of good educational reasons for individual learners recruited to non-progression programmes.

### Programme Eligibility

21. This part sets out the general principles of programme eligibility and the types of programme that are funded by the YPLA.
22. All providers are reminded that they should consider the eligibility of provision for YPLA funding while planning provision and before enrolling learners. It is important when considering the eligibility of any provision that providers work within the intention, spirit and framework of this Guidance.
23. Where a provider intends to deliver provision that is not clearly identifiable within the implied terms of this Guidance, the provider should contact its funding body, seek written clarification before proceeding and retain evidence of any guidance given.

### Eligible provision

24. Qualifications approved for use in England by the Secretary of State under Section 96 of the Learning and Skills Act 2000 and available to eligible learners of above compulsory school age and under 19 are normally eligible for YPLA funding and are identified in the Learning Aims Database (LAD) against the national route(s) they are approved in. A few approved qualifications are ineligible for funding and these are so identified in paragraph 40 and in the LAD.
25. The 16-19 Statement of Priorities 2010-11 signalled that funding for external qualifications used by young people will cease from August 2010 where they are not approved under Section 96. In exceptional circumstances (for example, where there is no alternative provision on the National Qualifications Framework (NQF) or the Qualifications and Credit Framework (QCF)) there are a few qualifications that will continue

to be eligible for funding until 31 July 2011. Details of these qualifications will be published on the YPLA website funding page.

26. The YPLA will be undertaking an impact assessment of learning aims that lead to internal qualifications or learning without attainment in order to identify what provision will continue to be funded to protect those learning aims that are shown to meet the needs of learners with learning difficulties and or other disabilities, or other vulnerable learners or which are provider or sector specific. Providers will be given an opportunity during 2010 to contribute to the impact assessment, which will include a review of:
- Provider provision listed with individual codes on LAD
  - Provision described through the use of generic learning aim codes (set out in Annex H of the ILR guidance) – for example:
    - independent living skills
    - non-externally accredited provision
    - unit codes.
27. Providers should also be aware that the key eligibility principle in relation to qualifications falling out of approval applies. This means that no funding is available for any new enrolments onto qualifications after the approval end date where suitable approved qualifications are available.
28. Approved qualifications on Section 96 include both NQF and QCF qualifications. Where a QCF qualification replaces the predecessor NQF qualification it is expected that learning providers will deliver the QCF qualification in preference to the NQF qualification in order to ensure that the cohort starting in 2010/11 are offered the new qualifications and not the predecessor qualifications that are being phased out. The YPLA will continue to fund both NQF and QCF qualifications in recognition that there may be some circumstances where there is a clear delay in QCF provision becoming available or where the content/specification of the QCF qualification is such that more time is needed for provider readiness to deliver.

## **Funding eligibility and 'Additionality'**

### **Subsidiary or additional learning aims**

29. The YPLA will not fund learning aims that are subsidiary to other learning aims in a learning programme. Learners will not be funded where they are following two different levels of the same subject at the same time. For example, a learning programme comprising GCSE Spanish and AS-level Spanish at the same time within the same 12-month period would not be funded for the subsidiary GCSE learning aim.
30. For providers delivering a mix of overlapping programmes that have listed and unlisted funding values they should follow the guidance on funding principles set out in paragraph 14 in recording their funding values. The following example may help explain this methodology.

### **Example: Overlapping GCSE and Functional Skill**

31. Where providers deliver GCSE and functional skills in the same subject area by using the same class to deliver substantial parts of each learning aim, the funding record for the unlisted programme should be calculated as follows.
- 1) Calculate total glh content for learner doing both programmes – say 120 glh.
  - 2) Funding for listed GCSE is 100 glh (as 100 glh is the funded value to provide the full 100 glh must be deducted to meet the funding principle in paragraph 14).
  - 3) Funding (as the unlisted planned glh) to be recorded for the functional skill is 20 glh.

### **Additional qualifications**

32. During 2008 the LSC commissioned the Learning and Skills Network (LSN) to examine the value of additional qualifications for learners, employers and institutions of further and higher educations. The findings were positive and good practice was identified alongside some areas for improvement.
33. Additional qualifications are seen by stakeholders and the sector as adding value where they contribute to a balanced and mixed curriculum which offers and enables progression to further learning and meaningful employment. However, not all institutions and providers use additional qualifications in this way. A number of good practice principles, which providers are strongly advised to follow to ensure eligibility for the additional qualifications they deliver are outlined below.

### **Priority additional qualifications**

34. Research has determined that gaining a level 2 standard in literacy and numeracy greatly enhances learners' potential to achieve a level 3 standard. Therefore the first priority for funding used to provide additional qualifications should be given to literacy and numeracy qualifications including functional skills where the learner is yet to achieve a level 2 standard in literacy or numeracy.

### **Other additional qualifications**

35. Other additional qualifications will also be supported where they:
- i) have a sound educational rationale in the context of the learner's initial assessment and aspirations, and
  - ii) are directly related or relevant to the learner's main programme of learning, or
  - iii) directly support the development of recognised functional skills or independent living or thinking skills, or
  - iv) directly support progression to employment, or
  - v) enhance the learner's UCAS points score and the qualification is directly relevant to the access requirements for the higher education course that the learner aspires to take.

### **Additional qualifications ineligible for funding**

36. The YPLA will not fund additional qualifications:
- i) that duplicate any other learning funded by the YPLA or from any other source,
  - ii) that includes any learning which is or could be funded through entitlement funding,
  - iii) that are not relevant to the learner's main programme or are not in line with the principles above.

### **Definition of additional qualifications**

37. A learner's main learning aim is defined as the learning aim with the highest SLN value. Therefore additional qualifications are all other learning aims. There are two exceptions to this rule.
- i) Where the learning aims are a constituent part of a defined programme of learning, i.e. a 14-19 diploma or progression pathway, in which case only qualifications outside the framework are classed as additional.
  - ii) Where the learner is enrolled on a group of AS or A2 qualifications, in which case only qualifications which are not AS or A2 levels are classed as additional.

### **Ineligible provision**

38. The YPLA will be reviewing all qualifications (including those on Section 96) to consider funding eligibility for those qualifications that have had no publicly funded enrolments for two consecutive years.
39. Where an existing qualification within the NQF has been replaced by a QCF version of the qualification funding for new starts is only available for NQF qualifications before the approval end date in parallel to the QCF qualification. In the interests of learners where the NQF qualification has been reformed and is available for delivery as a QCF version, the YPLA would expect providers to switch to delivery of the QCF qualification at the earliest opportunity.
40. The following provision is **not eligible** for YPLA funding:
- a. New provision leading to external qualifications or externally certificated provision not approved by the Secretary of State under Section 96 for use by 16–to 18-year-old learners except when delivered as part of the entitlement curriculum.
  - b. Specific stand-alone learning aims designed to meet employers' statutory or other responsibilities. These include:
    - any learning aim in health and safety, food safety, first aid and other health- and safety-related aims delivered as stand-alone provision for employers (for example manual handling);
    - acquisition of forklift truck and HGV and PSV licences;

- c. Very short learning aims of fewer than 9 glh, including any one-day provision. Previous sector experience suggests that it is very difficult to deliver good-quality provision of at least 9 glh in one day.
- d. Costs related to obtaining membership of professional bodies.
- e. Qualifications falling out of approval. The course itself (that is, the teaching and learning, and not just the learner induction) must have commenced before the approval end date. However, the YPLA will fund continuing learners enrolled on programmes before the approval end date in order to enable them to complete. Where learners are enrolled onto a course leading to a qualification nearing the end of its approval, colleges and providers are reminded that they are responsible for checking qualification availability, final registration and certification end dates with the awarding body.
- f. Prescribed HE, including:
  - learning aims for the further training of teachers or youth or community workers;
  - postgraduate learning aims;
  - first-degree learning aims;
  - learning aims for the Diploma in HE;
  - foundation degrees;
  - learning aims for the Certificate in Education;
  - learning aims for the HND or HNC;
  - learning aims for any diploma awarded by an HE institution.
- g. Company-specific knowledge learning aims.
- h. Vendor-certificated courses, unless they are approved qualifications or are embedded within and contribute directly towards the generic learning required to achieve an approved Section 96 qualification. Examples of vendor certificates include those of information technology companies that are specific to those companies' own products and services.
- i. Primary and advanced driving skills (for example, defensive driving) or piloting skills.
- j. Inward collaborative provision, (that is, provision delivered by the provider on behalf of another funded provider and returned as data using ILR Annex I (ILR Form FRANIN)).
- k. Any other learning aims that are considered to be fully funded from other sources including all full cost-recovery provision.
- l. Approved qualifications identified on the LAD as ineligible for funding.

## 4: Definitions, Qualifications and Terminology

41. This section provides detailed definitions of some of the key terms used in this Guidance. Explanations of acronyms are provided in Annex A.

### 16-to 18-year old learner definition

42. 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. Such learners are normally eligible for YPLA funding, subject to the other regulations in this guidance.

43. To maintain eligibility for funding for individual learners during a learning programme, a wider definition has been agreed with the Skills Funding Agency. For funding eligibility purposes, any learner who was aged 16, 17 or 18 on 31 August in the funding year when they began a programme of study continues to be funded as a 16- to 18-year-old learner. This wider definition ensures that the funding eligibility of a learner does not change if they become 19 years old during their programme. Such learners are funded at 16-18 rates and, if full-time, may be funded for the 16–18 entitlement. They do not have to pay tuition fees if they become 19 during their programme, and colleges and providers may continue to claim fee remission. To assist in understanding this paragraph a learning programme is defined in paragraph 105.

44. The YPLA also funds learners aged 19-24 on the 31 August in the funding year 2010/11 who have a LDA and have ALS needs over £5,500 in the year. All other learners aged 19 and over on 31 August in the relevant funding year would not normally be funded by the YPLA. These learners will be funded at adult rates and be ineligible for entitlement funding unless they meet the eligibility criteria for learners completing learning programmes started whilst 16-18 as set out in the above paragraph.

45. The YPLA would not normally fund 16-year-olds until after they have left school. The official school-leaving date is the last Friday in June of the academic year, and 16-year-old learners (as defined above) would only be eligible for YPLA funding after that date. Colleges and providers may seek to develop innovative introductory courses that strategically target key YPLA priority learners who might not otherwise stay in education and learning after school. These learners may start in July, but must plan to continue their courses beyond 1 August of that year. Providers have successfully piloted this type of provision but colleges and providers should not be seen to extend artificially the duration of their current curriculum offer.

### Absence

46. A provider may continue to record funding for reasonable absences of up to four weeks (28 days) by learners from their programmes who continue in learning after the absence. The YPLA does not distinguish between authorised and unauthorised absence for funding purposes.

## Access to HE

47. All QAA-recognised Access to HE courses will lead to the award of the Access to Higher Education Diploma and will be identifiable by a qualification title using a standard format: Access to HE Diploma (subject/area of study). This and other requirements are detailed in the Diploma credit and qualification specifications, available from the Access to HE website:  
[www.accesstohe.ac.uk/home/publications/creditspecificationsdraft06/creditspecificationdraft06.pdf](http://www.accesstohe.ac.uk/home/publications/creditspecificationsdraft06/creditspecificationdraft06.pdf).
48. Under the current legislation (Section 96 of the Learning and Skills Act 2000), 16–to 18-year-old learners enrolled on Access to Higher Education provision regulated by the Quality Assurance Agency for Higher Education are ineligible for public funding as they are not approved under Section 96 of the Learning and Skills Act 2000.
49. The exception to this is learners who are aged 19 when they start their courses but 18 on 31 August. For the small number of eligible learners aged 19 at the start of their programme Access to HE learning aims that are followed for at least 450 glh or more per year have been listed in the companion document, *Funding Rates and Formula*, at Annex A. All other Access to HE programmes will be treated as unlisted for funding purposes.

## Actual leaving date

50. The date when the learner completes their learning activity, or the date when the learner is deemed to have terminated the learning activity, if this is an earlier date (as set out in the ILR guidance, *Specification of the Individualised Learner Record 2010/11*). Full guidance on withdrawals is available in Annex C.

## Additional Learning Support

51. Additional learning support (ALS) is any activity that provides direct support for learning to individual learners, over and above that which is normally provided in a standard learning programme that leads to their learning goal. ALS is only available for learners on funded programmes. ALS is required to help learners gain access to, progress towards and successfully achieve their learning goals. The need for ALS may arise from a learning difficulty and/or disability, or from support required to access a progression opportunity or employment, or from literacy, numeracy or language support requirements. The companion document *Additional Learning Support* sets out the YPLA approach to funding ALS.

## Advanced Extension Awards

52. The Advanced Extension Awards (AEAs) were withdrawn after the June 2009 examination series, except in mathematics where the qualification will continue until at least June 2013. The AEA in mathematics is not eligible for YPLA funding as it does not require any additional teaching content over the usual A level delivery.

## **Approved qualification**

53. An approved qualification is a current qualification listed on Section 96.

## **Collaboration**

54. The YPLA strongly encourages collaboration between schools, colleges and independent training providers. It also encourages collaboration with independent schools, particularly for minority A-level subjects.

55. Consortia must ensure that pupils within the consortium are recorded on only one school's roll. The school at which pupils are on the roll should record the qualifications studied by its pupils in any other institutions through collaborative arrangements.

56. Schools must not record on their termly census pupils who are studying qualifications at their school but who are on the roll of other schools.

## **Curriculum Entitlement**

57. The YPLA expects that the entitlement will include regular tutorials and enrichment activities, which will be delivered in an appropriate number of guided learning hours (glh) that are additional to the other learning aims within the learner's programme. Consideration of the entitlement provision delivered by providers is reviewed during inspection.

## **Enrichment**

58. Some examples of appropriate enrichment activities are:

- a. learning aims that lead to external qualifications or external certificates of attainment not approved by the Secretary of State: for example, Young Enterprise and Duke of Edinburgh awards;
- b. careers guidance;
- c. sports;
- d. music, dance and drama;
- e. industry-related programmes, including vendor-certificated courses such as those offered by IT companies (for example, CISCO, Microsoft or Novell);
- f. health education;
- g. use of learning resource centres;
- h. activities that support learners to access a progression opportunity and/or employment.

59. Part-time jobs undertaken by learners cannot be considered as eligible for funding as enrichment activities under the entitlement, except in exceptional circumstances. Work experience will be considered as an enrichment activity only where this is undertaken within a structured

approach with some tutor input. Conversely, where work experience is provided as a mandatory element of a qualification, it is deemed to be part of the main qualification and should not be considered as an enrichment activity.

## **Funding Entitlement**

60. 16-18 learners on full-time programmes are eligible for 16-18 entitlement funding, which supports the delivery of guidance, tutorials and study skills which are not eligible for additional funding. Functional skills are funded outside the entitlement and are eligible for additional funding. For the purposes of recording the 16-18 funding entitlement, full-time is as defined in paragraphs 75-77.

## **Diplomas**

61. Diplomas are designed to combine practical, applied and work related learning. The first five Diploma lines were introduced in 2008, with the intention that by 2011 there will be 14 different occupational lines of learning. Each line of learning is expected to be available at 3 levels with an intermediate progressive level available at level 3.
62. The Diploma is a composite qualification which balances practical and theoretical understanding. It has 3 components: Principal learning; Generic learning (which includes functional skills); and additional and specialist learning (ASL). For ASL, each industry sector will identify which qualifications can be combined to allow learners to explore the sector that is relevant to them.
63. The following principles will apply to post-16 Diploma funding.
  - The standard YPLA funding methodology is used, for simplification and standardisation.
  - Funding will be allocated to and flow through the learner's home provider.
  - Once Diplomas are fully established success rates will be calculated for achievement of the whole Diploma but as an interim measure success rates are calculated at qualification aim level.
  - Funding for personal learning, thinking skills and collaboration are attached to the Diploma aim so that these are only paid where the full Diploma is taken.
  - Funding will be calculated based on the individual component learning aims, up to the funding cap.
64. Each Diploma is made up of a number of component learning aims. To achieve the overall Diploma qualification, learners will need to pass all of the required components. To ensure funding paid reflects a learner's actual programme, each component learning aim is funded separately up to the funding cap.

## Entry to Employment

65. This has been replaced from 2010/11 by Foundation Learning. For learners completing any Entry to Employment (E2E) programmes started before 2010/11 the advice and guidance in *LSC Funding Guidance 2009/10* Section 10 paragraphs 155 to 161 that updated the full E2E guidance in *LSC Funding Guidance 2008/09: Principles, Rules and Regulations*: Section 10 remains relevant for 2010/11 only.

## Fees charged to learners

66. The requirement to remit tuition fees for 16– to 18- year-olds applies to provision funded by the YPLA. All YPLA learners funded for programmes starting after they have attained the age of 19 are subject to the fee remission guidance set out in companion document *Learner Eligibility Guidance*: Section 4.

## Foundation Learning

67. Foundation Learning covers education provision at Entry level 1, 2 and 3 and Level 1, and the qualifications at these levels within the Qualification and Credit Framework. Foundation Learning will be implemented nationally from 2010.
68. Foundation Learning is delivered in personalised Foundation Learning programmes and is specifically designed to promote individual progression as well as helping learners to achieve formal qualifications from entry level 1 of the QCF.
69. Learners are supported by a ‘wrap-around’ of information, advice and guidance, effective initial assessment, comprehensive ongoing review, and provider collaboration.
70. Personalised Learning Programmes encompass three distinct components:
- Subject vocational knowledge, skills and understanding,
  - functional skills,
  - personal and social development.
71. Providers design programmes for their learners using qualifications at entry level and level 1 of the QCF. These programmes do not have a prescribed size.
72. Personalised Learning Programmes are intended to provide progression to:
- further learning;
  - employment (during the transition to RPA) which is sustainable;
  - supported employment;
  - living more independently.

73. Foundation Learning is funded in accordance with all the standard funding rates and regulations and for Foundation learning delivery there are no specific additional requirements or arrangements. The funding issues for Foundation Learning as it replaces E2E are more fully explained in Annex E, particularly for the benefit of those training providers principally funded to deliver foundation learning. Further information on the qualification offer can be found at: <http://www.qcda.gov.uk/resources/5612.aspx>.

## Free-standing Mathematics qualifications

74. There are 11 free-standing Mathematics qualifications (FSMQs) at foundation, intermediate and advanced levels. Each is a national qualification in its own right. These awards do not relate to the functional skill of Maths, and are funded in addition to the entitlement funding for 16 to 18 year old learners.

## Full-time

75. A full-time learner is one enrolled on a programme of at least 450 glh in any 12-month period. This includes a learner who withdraws after meeting the start criteria.
76. Funding calculations are now made on an annual basis. The 450 glh would include the glh associated within the 16–to-18 entitlement (assumed to be 114 glh per year in 2010/11).
77. For some purposes other than funding calculations, it is important to measure whether a learner is in full-time education and training over a period other than a year. In this context, learners engaged in education or training of more than 16 glh a week are also considered full-time.

## Functional skills

78. Functional skills at entry levels 1, 2 and 3 and Level 1 and 2 are being rolled out in 2010/11.
79. Providers are now expected to deliver these Functional Skills qualifications for young people unless there is a robust rationale for not doing so. Qualifications that demonstrate personal progress may be more appropriate for learners with learning difficulties and/or disabilities who are not ready to access functional skills qualifications and are working towards independent living and their achievements are at the lower end of entry level 1.
80. However, it is not intended that full-time learners who study basic skills as an alternative to functional skills should be counted as basic skills learners. This would apply even if the basic skills alternative were 80 glh or more. Therefore, the disadvantage uplift for basic skills learners should not apply in these situations.
81. Funding for functional skills qualifications is at unlisted rates for all learners as set out in companion document *Funding Rates and Formula*. All Functional Skills in English and Mathematics funded will have a 1.4 programme weighting. Functional Skills in ICT will continue to have a

programme weighting at 1.12. For funded provision, the funding for functional skills is included within the agreed 2010/11 allocations.

### **Wider Key Skills**

82. There are three wider key skill qualifications at Levels 1 to 4: Working with Others, Improving Own Learning and Performance, and Problem-solving. These are separately fundable as unlisted aims from 2010/11.
83. Funding may be recorded for the wider key skills in addition to the entitlement funding, provided that additional glh are delivered at the appropriate level. However, the wider key skill units could also be delivered as enrichment activity, in which case no additional funding should be recorded.

### **General Qualifications**

84. This is the fourth main qualification route and comprises mainly GCSE, AS and A levels. These will continue to be funded as previously with the rates for funding for conventional General Certificates of Secondary Education (GCSEs) being available in the companion document *Funding Rates and Formula* and in the LAD.

### **A Levels (Advanced Certificates in Education)**

85. Curriculum changes, but not funding changes to A levels were introduced from September 2008. The introduction of stretch and challenge at A2 is to prepare learners better for higher education and employment. An A\* grade will be introduced in 2010 to reward the most exceptional candidates.
86. There is a change in the funding methodology over how qualifications that are uncashed are treated. This primarily affects AS levels. It will ensure performance funding for AS levels is more accurately linked to AS achievement. The Success Rate data collected from the 2010/11 academic year will be calculated according to when the qualifications are due to end (planned end date), regardless of whether they are cashed in (claimed). This policy is explained in more detail at:  
<http://www.dcsf.gov.uk/14-19/index.cfm?go=site.home&sid=3&pid=233&lid=698&ctype=Text&ptype=Single>.

### **Extended projects**

87. The Extended Project, introduced in 2009, is available as a stand-alone qualification. It is a compulsory part of the Diploma programme but can also be taken as an optional part of an A level study programme, and so will provide a link between A levels and Advanced Diplomas. An extended project is equivalent in size to half an A level and equivalent in standard to a full A level and is funded accordingly.

### **General Certificates of Secondary Education**

88. GCSEs have been reviewed with first teaching of the revised programme in September 2009 (with some subjects in 2010). As a result, coursework is being replaced in the majority of subjects with controlled assessment.

89. Applied GCSEs are considered equivalent to two GCSEs in terms of size and demand, and this is reflected in the listed SLN funding value for these qualifications.

### **GCSE (short-learning aim) qualifications**

90. They are intended to take half the glh of a conventional GCSE qualification. GCSE (short learning aim) qualifications are, therefore, individually listed with an SLN value that reflects the size of these qualifications.

## **Guided Learning Hours**

91. Guided learning hours (glh) are defined as all times when a member of staff is present to give specific guidance towards the learning aim being studied on a programme. This definition includes lectures, tutorials and supervised study in, for example, open learning centres and learning workshops. It also includes time spent by staff assessing a learner's achievements, for example in the assessment of competence for National Vocational Qualifications (NVQs). It does not include time spent by staff in the day-to-day marking of assignments or homework where the learner is not present. It does not include hours where supervision or assistance is of a general nature and is not specific to the study of the learners.

## **Higher-level programmes for learners**

### **Prescribed HE**

92. The YPLA will support qualifications which enable learners, where appropriate, to study at a higher level than Level 3. This is in line with the 14–19 Education and Skills White Paper.
93. Section 105 of the Education Act 2005 gives governing bodies of maintained schools in England (and Wales) the power to arrange the provision of higher education (HE) for pupils in the school.
94. Providers can deliver limited amounts of prescribed HE as part of a full-time Level 3 programme for an individual 16–to 18-year-old learner, and the YPLA will fund that HE learning aim, subject to the following conditions.
- The HE provision must fall within either paragraph 1(g) or 1(h) of Schedule 6 to the Education Reform Act 1988. This provision includes vocational courses at Levels 4 and 5, modules of first degrees and components of Higher National Diplomas (HNDs) (but not the full award of degrees or HNDs).
  - The HE provision must be a small part of the provision, typically instead of an AS-level, and the young person must be enrolled on a full Level 3 programme including the HE provision.
  - Providers must substitute higher-level and more stretching provision in place of courses and qualifications that learners might otherwise pursue. Providers must not deliver HE as additionality to 16– to 18-

year-old learners' programmes. For example, a learner who would normally take five AS-levels in an academic year could take four AS-levels and an HE course, but not five AS-levels and an HE course.

- The provision must involve an appropriate amount of teaching or appropriate distance learning; it would not be acceptable for HE provision to be undertaken purely as private study.
- Where distance or online learning is involved, there must be no charge to the pupil for course materials, supporting books, access to IT and similar activities or matters.
- An HE course will not be funded in addition to the cap of 1.75 SLN.
- One way in which this ability to offer HE qualifications might be used is by learners doing an Open University (OU) module as part of the Young Applicants in Schools and Colleges Scheme (YASS) of the OU, but other courses at higher levels may be involved.
- OU modules will be funded at the same rate as an AS/A2 qualification; a 60-point course will attract a full AS/A2 funding rate, while 30-point and 10-point courses will be funded at one-half and one-sixth of the AS/A2 funding rate respectively.
- School sixth forms will be required to record individual qualifications data as part of the School Census. Nine codes have been set up in the Qualification Accreditation Number (QAN) web services to allow schools to record YASS qualifications.
- Other than in these circumstances, the YPLA will not fund HE in schools, or anything which is funded by the Higher Education Funding Council for England (HEFCE).

### **Non-prescribed HE**

95. The YPLA has the power under Section 5(d) of the Learning and Skills Act 2000 to fund courses falling within paragraph 1(g) or (h) of Schedule 6 to the Education Reform Act 1988. Approved qualifications under Sections 96 of the Learning and Skills Act 2000 at Level 4 and above will be eligible for funding.

### **Individualised Learner Record**

96. The individualised learner record (ILR) is used by providers to record all relevant funding ILR data about YPLA-funded learners. More information can be found in the Information Authority's (IA) ILR guidance *Individualised Learner Record Specification for 2010/11*, available at: [http://www.theia.org.uk/downloads/ilrdocuments/201011\\_ilrdetail.htm](http://www.theia.org.uk/downloads/ilrdocuments/201011_ilrdetail.htm).

### **Information, advice and guidance**

97. All learners regardless of level, age or programme should be able to access information, advice and guidance (IAG) services to enable them to consider further learning opportunities, progression and career choices. A key element of the 14-19 entitlement is that all young people

should have the right support and opportunities, including excellent IAG to make the right choices.

98. Where IAG is embedded in learning programmes and in the entitlement curriculum for full-time 16- to 18-year-olds suitable arrangements should be made for teaching and learning-support staff to be aware of and to access appropriate information and be able to direct learners to specialist advisers and resources.
99. The implementation of the QCF will present new opportunities for learners and employers with regard to personalisation of learning and incremental achievement through credit accumulation and transfer. The YPLA is taking forward a programme of work to support the embedding of the QCF across information, advice and guidance (IAG) services as part of the implementation of the new framework. Providers and external IAG services must ensure they are able to support learners in making the right learning choices in the context of the new unit-based qualification and credit framework.

## **In-learning**

100. A learner who has commenced an agreed course of learning and has not yet finished that course of learning is said to be in-learning. A learner continues to be counted as being in-learning even if that learner is not attracting funding because they have drawn down or been paid all the on-programme money attracted by the programme.

## **International Baccalaureate**

101. For funding purposes the International Baccalaureate (IB) should be regarded as equivalent to four GCE A-levels plus one AS-level studied over two years. Therefore the SLN value for the full qualification is 1,350 glh (excluding entitlement).

## **Key skills**

102. Learners will now be undertaking functional skill qualifications that have been designed to replace previous Key skills qualifications.

## **Learner eligibility**

103. The YPLA will consider as eligible for funding any person who meets the criteria described in Section 2 of companion document *Learner Eligibility Guidance*.

## **Learning aim**

104. A learning aim is defined as a single element of learning that attracts a funding at either a listed SLN value or has an unlisted SLN value that is based on the planned glh.

## **Learning programme**

105. A learning programme comprises all of a learner's activities that lead to a set of outcomes agreed with the learner as part of their IAG process. A learning programme may be composed of one or more learning aims and may span more than one funding year. A learning programme will

generally be centred around learning aims at a single Level, with a minority of, if any, learning aims at a different Level being used to support the wider needs of the learner (for example, a GCSE retake in Mathematics would be appropriate for a learner studying non-mathematical A Levels). AS and A2 levels in the same subject taken in subsequent years are considered to constitute a single learning programme, whereas progression from GCSEs to A levels would usually constitute two separate learning programmes.

## Minimum learning aim duration

106. The minimum learning aim duration for 16–to 18-year-old learners is 9 glh.

## National Vocational Qualifications

107. The funding rates and the application of the funding formula for NVQs are set out in the companion document *Funding Rates and Formula Annex A*.

108. The YPLA funding model contains three modes of NVQs. That is, those NVQs delivered:

- entirely on the provider's premises;
- in the workplace where underpinning knowledge and understanding as well as substantial skills development are delivered by the provider;
- in the workplace where either underpinning knowledge and assessment or substantial skills development are delivered by the provider.

109. The maximum funding should be recorded only where a learner is following a full-time qualification that is delivered in 450 glh or more.

110. In determining the appropriate SLN value to be recorded for an individually listed NVQ, providers should consider the following.

- Which of the three components are delivered by the provider?
- How many glh are delivered? Where the provider delivers all aspects of the NVQ (initial advice, guidance and needs analysis, support and assessment, underpinning knowledge and understanding and substantial skills development) but in fewer than 450 glh, the SLN value must be recorded as unlisted provision in accordance with the actual glh received by the learner.
- What is the length of time over which the programme is delivered?
- Is there an overlap in content with any other NVQ or other qualification that is part of the learner's programme of study?

- For provision delivered entirely in the workplace, colleges and providers must be able to demonstrate the delivery of actual glh as distinct from work-related supervision.
- For partnership provision, the provider must be able to demonstrate effective control.
- Where a provider is introducing an NVQ for the first time, it should seek the advice of the awarding body and/or other colleges and providers with experience of offering the qualification, in order to establish the appropriate delivery style.

111. The following notes apply to all listed and unlisted NVQs.

- Learners are usually expected to undertake only one full-time NVQ programme in a 12 month period, although providers may apply some individual judgement where this rule would otherwise be a barrier to individual learner progression. Providers must consult their funding body before enrolling whole cohorts of learners on multiple NVQs.
- Where a learning programme consists of two or more NVQs in the same subject area, providers should consider any overlap in content when determining the funding recorded for the second and any subsequent NVQ. For 2010/11 the funding should be reduced using ILR field A51a as described in paragraphs 130 to 135 and below.
- Where support and assessment are provided by a provider, for example to employees, the provision will be eligible for funding if a significant level of support is provided for the programme as a whole, together with assessment. If the provider only provides assessment, this is ineligible for YPLA funding.
- The YPLA expects all learners enrolled on NVQ programmes to be registered with the relevant awarding body within a reasonable time of starting the learning aim. The YPLA recognises that providers may want learners to meet the YPLA funding start criteria before incurring the costs associated with this process as these costs are recognised within the YPLA funding rates.

112. The regulatory arrangements for the QCF were published on 28 August 2008. Alongside the regulatory arrangements, Ofqual have also published details of the requirements which must be met for qualifications that include 'NVQ' in the title – Operating rules for using the term 'NVQ' in a QCF qualification title. In the QCF a qualification type is defined through a specific and additional set of regulatory requirements that will apply over and above the common requirements for all recognised organisations and accredited qualifications. Where qualification types are established in the QCF, additional requirements will be published separately by Ofqual.

## **Partnership provision**

113. Partnership provision is learning provision that is delivered with the involvement of a third party.

## **Part-time learner**

114. A part-time learner is engaged in a programme that is fewer than 450 glh in any 12-month period.

## **Personal adviser**

115. A personal adviser is the named Connexions person who works with a young person and who has responsibility for supporting that person to help them enter education or training and to achieve their learning aims.

## **Pre-entry advice and guidance**

116. The YPLA considers it essential that learners have access to clear and full information on the costs of programmes before enrolment.

117. The funding for each learner's programme is still based on the principle that learners are provided with pre-entry advice and guidance. Such advice and guidance are crucial if the learning programme is to match a learner's aspirations, expectations and abilities. Providers should not record separate funding for a learning aim that represents provision typically forming part of pre-entry advice and guidance or induction activities.

118. The successful outcome of pre-entry advice and guidance is a learning agreement signed on behalf of the provider and by the learner. While recognising that different types of learners may require different approaches to advice and guidance, the learning agreement should provide confirmation that the following broad areas have been covered:

- implications of the choice of learning programme;
- entry requirements for each learning aim within the learning programme;
- an assessment of the suitability of the learning programme for the individual;
- support available for the learner, and which, if any, support is needed;
- a brief description of the nature of the procedures involved in the process of advice and guidance.

119. The additional cost of specialised assessments of learners with learning difficulties and/or disabilities is met through additional learning support (ALS). Further information on ALS is contained in companion document *Additional Learning Support*.

## **Prince's Trust programme**

### **Unemployed learners**

120. It is expected that the programme will last for 12 weeks and 420 glh. Where this is the case, 420 should be entered in field A32 of the ILR to generate the correct SLN values for 2010/11.

121. The qualification is subject to the maximum funding per learner per teaching year rule but should not require a manual adjustment in 2010/11 as the qualification is below the annual limit.
122. The provider retention rate (management fee) should be no more than a maximum of 15 per cent of the total YPLA funding. Any retention figure above that level will require the YPLA regional team to seek additional approval from the YPLA National Office in collaboration with the Prince's Trust. For a standard team programme (based on a target mix of 10 unemployed and 2 employed learners), the YPLA expects the Prince's Trust to receive £1,400 for 2010/11.

### **Employed learners**

123. It is expected that the programme will last for 20 days and 90 glh. Where this is the case, 90 should be entered in field A32 of the ILR to generate the correct SLN values for 2010/11.

### **Prior learning, exemption and achievement**

124. A provider may not record any funding for any part of a learning programme from which a learner is already exempted as a result of previous certification. Colleges and providers are expected to adjust the amount of funding recorded to reflect this guidance as set out in the later paragraphs 130 to 135. Within this context the funding arrangements for learners with prior learning and/or achievement have been reviewed in light of the implementation of the QCF.
125. YPLA funding is expected to support effective and efficient delivery, which includes maximising opportunities to build on prior learning and/or achievement when agreeing a learner's programme. Three alternative routes to achievement have been identified by QCA in the supporting guidance for the QCF, [Claiming Credit: Guidance on the Recognition of Prior Learning with the Qualifications and Credit Framework](#). These are listed below. Please note that a reduction in funding will be required where there is a reduced burden to the learner and cost to the provider in accordance with the guidance provided below.
- Recognition of prior learning (RPL – formerly referred to as the accreditation of prior experience and learning, APEL): For individuals with learning or achievements that have not been certificated, it will be possible to assess and validate these through an RPL process (see below). Where 50% or more of the assessment for a programme is achieved through RPL, a proportionate reduction will be expected.
  - Exemption: For individuals with certificated achievements outside the QCF it will be possible to claim exemption for achieving some credits and/or associated assessment for designated units or parts of qualifications. In this case no learning takes place and the YPLA would not expect to fund any part of a programme achieved through exemption; therefore a proportionate reduction will be expected.
  - Credit transfer (applicable only to the QCF): For qualification achievements in the QCF it will be possible to transfer credits with the Rules of Combination from a previous episode of learning. The YPLA

would not expect to fund the proportion of a programme where credit is transferred (see below).

126. Where exemption and credit transfer are used toward the partial or full completion of a qualification the YPLA would not expect to fund the relevant proportion of the qualification, as no learning is required. Where a qualification has been partially achieved through exemption or credit transfer a reduction in funding is required.
127. RPL is a method of assessment leading to the award of a qualification, or in the context of the QCF, the award of credit as well. RPL considers whether a learner can demonstrate that they can meet the assessment requirements for a unit or qualification through knowledge, understanding or skills they already possess and do not need to develop through a formal course of learning.
128. RPL provides an alternative route to formal learning programmes for learners to achieve the learning, skills or competences required for the award of a qualification or credit. RPL is an alternative route to recognition and not a shortcut. RPL must therefore be an integrated part of a quality-assured assessment process.
129. It would be unusual to gain full certification by RPL, and it is expected that some guided learning would be required. Where colleges and providers are carrying out assessment, for example of employees, leading to the award of an NVQ and 50% or over of the assessment is achieved through RPL, then proportionate reduction of funding is expected.

## **Proportioning of funding using ILR field A51a field**

130. Some learners will start learning aims having already attained some parts of the learning aim, mostly through RPL, exemption or credit transfers. The funding of these learning aims will need to be reduced, using ILR field A51a, in line with the prior attainment to ensure that double funding is not recorded.
131. Field A51a should be used to reduce the funding for a learning aim that does not require the full level of expected input due to prior learning or achievement or curriculum overlap. It is not intended to be used for learners who simply progress through learning aims quicker than other learners.
132. Where part of a learning aim has been achieved through exemption or credit transfer the proportion of the assessment required for the achievement of the learning aim should be reduced. Funding should only be recorded for the proportion of assessment required for the achievement of the learning aim.
133. For QCF learning aims, the value used in A51a should be calculated using the remaining planned credit to achieve the learning aim divided by the credit value of the learning aim recorded on the LAD. For example, if a learner enrolls on a level 2 Certificate in Business Administration with a

total credit value required to achieve the qualification of 30 credits and if the learner is exempt from 8 credits through either credit transfer within the QCF or exemption based on prior certificated achievement then A51a should be recorded as (rounded to nearest whole number) 73 (that is,  $22/30 \times 100 = 73.3$ ).

134. Where 50% or over of the required assessment for the achievement of a learning aim has been achieved through RPL, a reduction in proportion to half the value of the assessment achieved through RPL should be made.
135. For non-QCF learning aims, the value used in A51a should be the number of units remaining to achieve the learning aim divided by the minimum number of units required to achieve the learning aim. If recommended glh data is available at unit level, then this can also be used to assess the proportion of the learning, and hence the proportion of funding remaining.

## **Qualifications and Credit Framework**

136. The Qualifications and Credit Framework (QCF) is a unit-based qualifications and credit framework based on a system of credit accumulation and transfer.

## **Religious Education**

137. The YPLA funding policy aims to support students having full access to programmes of Religious Education (RE) including those related to a specific religion or denomination.
138. Some RE programmes are assumed to be funded under the per pupil entitlement funding. In order for RE programmes to be eligible for specific qualification funding, as with other qualifications, they must meet the 'additionality' requirements. This means that the programmes must be additional to those the school is already funded for, either through entitlement or any specific qualifications such as AS/A2-level qualifications.
139. RE programmes will attract YPLA funding on top of entitlement if they are RE qualifications approved by the Secretary of State under Section 96 but these RE qualifications are subject to the funding cap at 1.75 SLN per learner.

## **Re-sits and re-takes**

140. Many learning programmes are designed to enable learners to re-sit examinations and assessments but these are only eligible for funding in proportion to the learning activity given by the provider in accordance with the guidance below.
141. Where a learner fails to complete a learning aim in the expected time span and stays on for additional time to do so no further funding should be recorded.

142. Where a learner re-takes part or all of a learning aim this will be treated as unlisted provision. The level of funding will be determined by the number of glh delivered on the re-take programme.
143. The YPLA will not fund pupils who are not attending lessons but merely re-sitting the exam, even if the pupil has attended revision classes. Re-sits are to be identified within the School Census as having identical values for the learning aim start date and learning aim end date and a completion status of zero. No funding will be generated nor will the qualification be included within the success rate calculation.
144. Where a learner re-takes part of or all of a learning aim delivered by distance learning, the provider should complete the data collection form and agree a rate with its funding body. The agreed rate should reflect the level of activity needed to complete the re-take programme.

## **Right to time off for study or training**

145. The right to time off for study or training is defined in Part III of the Teaching and Higher Education Act 1998 (the 1998 Act). A copy of the 1998 Act is available from the DfE website at: <http://www.education.gov.uk/>. All employees who are aged 16 or 17, who are not in full-time education, and not qualified to Level 2 – as defined by the Regulations under the 1998 Act – have the right to reasonable paid time off work to study or train for approved qualifications. Certain employees aged 18 also have the right to complete study or training they have already begun.
146. It is expected that virtually all enquiries under this law can be met through mainstream YPLA provision. If providers receive any queries they are unable to deal with through mainstream provision, they should contact their funding body.

## **School**

147. This refers to schools that operate under the Schools Regulations and who are required to return school census data not ILR data.

## **School Census**

148. The DfE collection of data from schools. This is the equivalent of ILR data collected by the Information Authority from non-school providers funded by the YPLA.

## **School leaving date**

149. The school leaving date is the last Friday in June in the school teaching year in which a young person reaches the age of 16.

## **(School) Year 11**

150. Year 11 is the school year in which the majority of pupils have reached 16 years of age by the end of the academic year.

## **Start date**

151. Start dates are used to determine when and whether funding should be recorded for any learner. It is determined by the date on which the learner's learning programme begins. Further details of how start dates relate to funding and the qualifying periods of attendance to count as a funding start are given in Annex B.

## **Units within the Qualifications and Credit Framework**

152. A unit within the QCF is defined as a coherent and explicit set of learning outcomes and assessment criteria, with a title, credit value and level.

## **Unlisted learning aims**

153. This term refers to eligible learning aims or programmes in 2010/11 that do not have a listed funding value.

154. Providers should ensure that the glh for unlisted provision are accurately assessed in order to fund appropriately. All unlisted provision should be reviewed to ensure that the planned glh agree with those actually delivered. Where they differ significantly, an adjustment should be made.

155. Where glh have been incorrectly calculated, the provider would be expected to revise their ILR return to show the correct glh value where the variance in glh between actual and planned is material to their ILR funding out-turn total. Provider systems should be in place to ensure accurate recording of actual glh. Where actual glh differs significantly, an adjustment should be made for the qualification. 'Significantly' may be defined as "greater than or equal to 20% variance" but subject to meeting the requirements in the paragraph below.

156. Any tolerance of 20% variations between planned and actual attendance relates to individual learner attendance and cannot be reasonably interpreted that unlisted provision can simply be over-stated by a margin of 20 per cent in the ILR. Providers must be able to reasonably evidence to their funding body and any funding auditor that the planned guided learning hours (glh) were available for all learners on that programme/class.

## **Work experience**

157. Work experience refers to non-employed placements with employers, which are intended to help learners improve their skills, gain experience and become accustomed to a working regime and environment.

## **Young offenders under supervision in the community**

158. The YPLA and Youth Justice Board are looking to strengthen learning and skills arrangements for young offenders in the community.

## **5: Learner Support**

### **Learner support funds**

159. The YPLA gives financial support for particular groups of young learners. This includes learner support funds (LSF) that support the learner to stay in learning. They include funding support for:

- hardship;
- childcare;
- travel;
- residential accommodation.

### **Education Maintenance Allowance**

160. The Education Maintenance Allowance (EMA) is a weekly payment paid directly to young people aged 16–19 who stay on in learning after they reach the statutory leaving age. Its aim is to broaden participation and improve the retention and attainment of young people in this age group in post-compulsory education.

### **Care to Learn**

161. Care to Learn is a scheme that supports the cost of childcare to enable young parents to return to, or continue in, learning.

### **Eligibility criteria for Care to Learn**

162. In order to participate in the Care to Learn scheme, parents must meet the following eligibility criteria.

- The young parent must be aged under 20 on the day their learning starts.
- The young parent must use Ofsted-registered childcare.
- Any form of publicly funded learning can be undertaken, including short courses and taster courses; it does not have to be accredited learning.
- The young parent must reside in England.
- The young parent must be the main carer of the child.

### **Payments**

163. The costs of childcare and travel to and from the childcare provider are payments available under the Care to Learn scheme.

## Exceptional individual support

164. Discretionary support funds are available in colleges or school sixth forms to help towards the costs that a learner may incur in following his or her course of study. This fund is administered by post-16 providers who set their own eligibility criteria based on national guidance.

165. All post-16 learners who find finance a barrier to learning are eligible to apply. Discretionary support funds can be used to help pay for books, equipment, some transport costs and other expenditure associated with participating in further education.

166. LAs administer this fund for school sixth forms, and priority is usually given to learners in receipt of benefits or who have a low family income. The student support section within the LAs will be able to provide more information and application forms for this fund.

## Useful contacts and websites

167. There are two helplines and two websites that provide support to providers, young people and parents or carers in respect of the variety of learner support funding that may be available to young people:

### Telephone Help Desks

- Learning Provider helpline: 0845 600 7979;
- Learner helpline: 0800 121 8989.

### Helpful Websites

- EMA: <http://ema.ypla.gov.uk>
- Care to Learn: [www.direct.gov.uk/caretolearn](http://www.direct.gov.uk/caretolearn)
- Discretionary Funding Guidance: <http://lsf.ypla.gov.uk/fundingguidance/>

### Other helpful contacts maybe

- contacting the Learner Support Service (LSS)
- local Connexions advisers.

## Annex A: Acronyms and Glossary

	Non-abbreviated term (includes dates when changes occurred)
<b>2010/11</b>	Denotes YPLA funding year from August 2010 to July 2011
<b>2010-11</b>	Denotes financial year from April 2010 to March 2011
<b>ALS</b>	Additional learning support
<b>BIS</b>	Department for Business, Innovation and Skills (which includes the Skills Funding Agency)
<b>DfE (DCSF)</b>	Department for Education (replaces Department for Children, Schools and Families from May 2010)
<b>DLF</b>	Demand-led funding
<b>EEA</b>	European Economic Area
<b>EMA</b>	Education Maintenance Allowance
<b>GCSE</b>	General Certificate in Secondary Education
<b>Glh</b>	guided learning hours
<b>IA</b>	Information Authority
<b>ICT</b>	Information and communications technology
<b>ILR</b>	Individualised learner record
<b>IMD</b>	Index of Multiple Deprivation
<b>LAs</b>	Local Authorities
<b>LAD</b>	Learning Aims Database
<b>LDA</b>	Learner Difficulty Assessment
<b>LSC</b>	Learning and Skills Council (abolished from 1 April 2010)
<b>LSF</b>	Learner Support Funds
<b>NAO</b>	National Audit Office
<b>NEET</b>	Post-16s not in education, employment or training
<b>NQF</b>	National Qualifications Framework
<b>Ofqual</b>	Office of Qualifications and Examinations Regulation
<b>OU</b>	Open University
<b>QAN</b>	Qualification accreditation number (also known as Learning Aim Reference )
<b>QCDA</b>	Qualifications and Curriculum Development Agency
<b>QCF</b>	Qualifications Credit Framework
<b>Section 96</b>	This is a list of approved qualifications which are eligible for YPLA funding. Not all such qualifications attract YPLA funding, as some are regarded as being covered by entitlement funding
<b>SEN</b>	Special educational needs
<b>SLN</b>	Standard learner number
<b>SOA</b>	Super-output area
<b>TPG</b>	Teachers' Pay Grant
<b>YPLA</b>	Young People's Learning Agency

# Annex B: Withdrawals

## Compliance Evidence for Withdrawals

1. The YPLA general guidance on withdrawals is set out below and Table B1 gives advice on the funding position in relation to eligibility to count learners as a start for SLN funding purposes.
2. A learner should be considered to have withdrawn from a programme of study where they are known to have made a decision to withdraw from the programme of study, or to transfer from a full-time to a part-time programme of study or from a part-time to a full-time programme of study. Either the learner or the learner's tutor should have confirmed this in writing.
3. In addition, for full-time programmes and part-time programmes of more than 24 weeks in duration, which are not distance-learning programmes, a learner should be considered to have withdrawn where they have not attended classes for at least four continuous weeks, excluding holidays. This is unless there is auditable evidence of an intention to return. Compliance evidence includes a learner's or employer's letter or formal internal notes such as tutorial reports, contracts of behaviour or personal action plans.
4. For distance learning provision, a withdrawn learner would be one failing to meet the following guidance on participation or contact:
  - attendance at a centre or log-on to learning materials;
  - receipt of work or projects by the tutor (electronic or hard copy);
  - any communication with the tutor that indicated that the learner was still active on their learning aim, including any planned contacts.
5. Providers should ensure that learners are withdrawn from a programme where they have not attended classes for four continuous weeks, excluding holidays. Withdrawals should be actioned in a timely manner, and where a learner has not been withdrawn but has been absent for more than four weeks, there should be auditable evidence of an intention to return.
6. Where a learner has not been in attendance during a programme, and is deemed to have withdrawn, then the learner record should be appropriately adjusted to reflect that the learner has withdrawn.
7. Additional guidance on withdrawals is provided below. This is in response to a number of questions on this issue from providers and funding auditors.

8. Learner withdrawal dates should be promptly and accurately recorded in order to reflect the last date of actual recorded attendance. All learner withdrawals must be recorded in the ILR or school census.
9. Withdrawn learners cannot be recorded as having completed their course and are not usually recorded as achieved learners. Learners should also be correctly recorded as having transferred to another qualification, or withdrawn without transferring.
10. The date of a learner's withdrawal should be recorded in all circumstances as the last date of their actual attendance, not the date on which the learner's record was flagged as withdrawn. While learners may not be classified as withdrawn until four weeks have elapsed since their last attendance, or for open and distance learning since the missed contact, the date of withdrawal should still be recorded as the date of last actual participation.
11. When checking the withdrawal mechanism, providers should have robust systems in place to ensure that learners with erratic attendance due to illness or other legitimate circumstances are identified. In the case of learners with mental ill-health or other legitimate reasons for erratic attendance, providers should retain evidence of assessment and/or notification from the learner, parent, advocate or medical adviser that there is a strong intention to return. In these exceptional cases, the learner need not be entered as withdrawn within the usual timescales. If the learner fails to return, the withdrawal date should be the last date of attendance.
12. Learner withdrawals are not expected to occur in a systematic pattern. Where the number of learners shown as withdrawing from courses shortly after meeting the SLN start criteria appears to be disproportionate, providers and funding auditors may wish to pay particular attention to the attendance records and associated management controls for such courses.
13. A provider should also always take active measures to ensure that the learner is continuing on the programme and has not withdrawn. This should be done, for example, by providing a planned timetable for the receipt of assignments and then checking with learners who have not provided an assignment on the due date. Good practice suggests that learners should be contacted at regular intervals to check that they are still following the programme. It is not acceptable to assume that silence means a learner is 'continuing'. Providers are reminded of the advice in paragraph 5 of *Learner Eligibility Guidance* to do everything they can to help learners complete their programmes and see early withdrawal from programmes as a last and not a first resort. Colleges need to check that partner providers are implementing the guidance. In all cases, the learner should be counted as withdrawn from the last date of actual attendance. In the case of distance-learning programmes, this is the date of the actual participation missed by the learner.

## Questions and answers on withdrawals

14. The following questions and answers will help clarify the funding situation for withdrawals.

Q If a learner is studying four AS-level learning aims over one year starting in September and withdraws from one of them after five weeks, may funding be recorded all year for the withdrawn learning aim?

A No. The learner does not meet the qualifying period to count towards the learner's SLN value for the year.

Q When a full-time learner reduces their programme, at what point do they become a part-time learner?

A If a learner is a full-time learner after the SLN qualifying start period they remain a full-time learner for statistical purposes for the whole year. For funding purposes, they would cease to be a full-time learner when their programme drops below 450 guided learning hours (glh) in the year.

Q If a learner stops attending class with no notification to the provider, when is the date of withdrawal?

A The date of the last attendance on the learning aim is the date of withdrawal. This should be found in the class register.

Q If a learner stops attending classes and a member of college staff telephones the learner to discuss his or her learning progress, can this be counted as guided learning and be deemed the date of withdrawal?

A No. Guided learning must be specific to the course being studied. The telephone call described here is assistance of a general nature and is not guided learning.

Q If a learner stops attending classes and some time later the learner is persuaded to attend the provider to discuss his or her learning progress, can this be counted as guided learning and be deemed the date of withdrawal?

A No. As in the previous answer, guided learning must be specific to the course being studied. The meeting described here is assistance of a general nature and is not guided learning.

Q A learner on a one-year learning aim stops attending at Easter to revise at home yet turns up and sits the examination in early June. When is the date of withdrawal?

A Early June. Sitting the examination is assessment of the learner's achievement and may count as guided learning. In practice, given the relatively short period of non-attendance, it is unlikely providers would treat such learners who passed their examination and qualification as withdrawals, instead recording them as successful completers.

Q Is the date of withdrawal for open-learning or distance-learning provision worked out in the same way as for traditional provision?

A Yes. It is the date of the last participation.

Q If a learner completes the first year of a two-year programme and then fails to return for the second year, can the provider record an SLN value for the second year?

A No. The learner must meet the start criteria for each separate funding year.

**Table B1: Funding dependent on length of planned programme and date of learner withdrawal.**

	<b>Course length</b>	<b>Attendance or Withdrawal</b>	<b>SLN</b>
Short courses (less than 2 weeks)	Course is planned to last less than 2 weeks	Enrolment and at least one course activity	Yes
	Course is planned to last less than 2 weeks	Enrolment and no course activity	No
Courses between 2 and 24 weeks)	Course is planned to last between 2 weeks and up to 24 weeks	Enrolment and final attendance for at least the first 2 weeks of the programme	Yes
	Course is planned to last between 2 weeks and up to 24 weeks	Enrolment and final attendance less than first 2 weeks of the programme	No
Longer courses (over or equal to 24 weeks)	Course is planned to last 24 weeks or more	Learner attends for 6 weeks or more	Yes
	Course is planned to last 24 weeks or more	Learner withdraws before the qualifying period of 6 weeks	No

# Annex C: Summary for School Sixth Forms of Funding Eligibility

## Introduction

1. This Annex has been produced to:
  - Summarise the main learner eligibility section for school sixth forms.
  - To include any additional guidance that is only relevant to school sixth form provision and for this reason this section will refer to pupils rather than learners.

## Eligibility

2. To be eligible for YPLA funding in a school sixth form, a young person must (the second point is a simple summary of the main rules for the benefit of school sixth forms):
  - 1) be under 19 years of age at the start of their sixth form programme of study;
  - 2) have the right of abode in England (non-European Economic Area (EEA) nationals will generally not be eligible for YPLA funding unless they are accompanying parents with the legal right to reside in the UK).
3. The decision as to whether a young person is to be admitted to a school sixth form does not rest with the YPLA but with the governing body or maintaining LAs, in accordance with the DfE School Admissions Code of Practice.
4. There will be circumstances which make it appropriate that a young person attends school on a part-time basis, when determined to be appropriate by the school or LA or by the YPLA.
5. Schools should read the advice in companion document *Learner Eligibility Guidance* in paragraphs 42 to 47 in respect of when learners of compulsory school education are eligible for YPLA funding.
6. The YPLA now has for post 16-learners common programme eligibility rules as set out in Section 3 of this document. Schools should note there are a number of Section 96 qualifications that are not available for 16– to 18-year-olds, but can be taken by 18+ and 19+ learners. These 18+ and 19+ Section 96 qualifications will not be funded in schools.

# Annex D: School Sixth Form – Funding Data Arrangements

## School Sixth Form Data Assurance Arrangements

1. The Chief Executive, as the YPLA's accounting officer, is responsible to the DfE for ensuring that departmental funds are applied to the purposes of funding learning. The National Audit Office (NAO), as the YPLA's auditors, examines and reports upon how the YPLA discharges its responsibilities towards its funded providers, including school sixth forms.

## Maintaining supporting records

2. By accepting funding from the YPLA, schools take on an obligation to:
  - maintain all records in accordance with *YPLA Funding Guidance*;
  - allow the appointed auditor or audit firm access to the school's premises to carry out the audit, and to the data records relating to the school's funding from the YPLA;
  - ensure records are retained to enable the YPLA to gain assurance as described in companion document *Learner Eligibility Guidance*: Section 3;
  - ensure the accuracy of data for the Education Maintenance Allowance (EMA) and school sixth form funding;
  - have in place adequate control procedures to ensure error levels are kept to a minimum.

## Findings from previous assurance visits

3. The YPLA's data assurance visits to schools last year highlighted a number of issues centred on the School Census. Box 1 summarises these issues as an aid to schools in completing this year's forms.
4. Auditors discovered that a significant number of schools had wrongly recorded their pupil numbers, and many had errors in the number of qualifications studied. In addition, some schools had inadequate records to support their School Census data. Where auditors identify that schools have wrongly recorded pupil numbers or the number of qualifications studied, or have inadequate records to support their return, this may result in an adjustment to the allocation.
5. The head teacher should approve data returns to the YPLA, particularly as any errors found could result in recovery of funding.

## **Box 1: Common errors found during data assurance reviews at school**

### **Pupil numbers**

Schools that have not retained registers for the School Census date.

Schools that have not retained a copy of the School Census return that was submitted to the DfE.

Schools placing reliance on verbal or written assurances by pupils that they will return to the sixth form. (Such pupils must **not** be counted on the School Census unless they are actually enrolled.)

Including on the School Census pupils who have not attended school from the start of term. (These pupils should only be counted when the school has granted them authorised absence.)

Including on the School Census pupils who are already on another school's roll. (Pupils must be counted only once.)

Duplicating the count of pupils at schools in consortium arrangements. (A pupil and their qualifications must be counted only once.)

Non-EEA pupils must not be included in the School Census where right of abode has not been confirmed.

### **Qualifications**

Schools having inadequate or inappropriate supporting documentation detailing the qualifications to be taken by each student at the School Census date.

Recording on the School Census pupils re-sitting GCSE and AS/A2-levels (records for re-takes are valid).

Schools wrongly recording on the Schools Census any additional funding for other qualifications funded from within the entitlement funding.

Schools that have entered pupils on the School Census return for the General Studies qualification where the pupil is not actually going to take the exam.

## Collecting data

6. Post-16 data collections occur as part of the normal School Census. For sixth forms, data is collected on individual pupil learning aims – the qualifications each pupil is studying at any point during the year.
7. Qualification-level data is required because:
  - the New Measures of Success programme includes a commitment to produce success rates that enable a fairer and more accurate comparison of the effectiveness of different providers across the post-16 sector;
  - schools need to be able to monitor the performance of different groups of learners;
  - funding for sixth forms is calculated based on aim-level data.

## Success rates and achievement rates

8. The agreed primary success measure within the post-16 sector is 'qualification success rate', which identifies the number of qualifications achieved as a proportion of those started. This approach is based on the number of learning aims being studied, and the results achieved. It is already in use in the other YPLA funding streams.
9. In simple terms the success rate is:

retention rate x achievement rate = success rate.

### Success rates

10. The methodology for calculating the success rate for using in the 2010/11 allocation has been based on a retention rate (2007/08) for year 12 and (achievement rate (2007/08) for year 13 and year 14 learners.
11. A number of learning aims were removed prior to the calculation of these elements these were:
  - entitlement aims – which are not related to success rates.
  - aims that are not assigned to learners in years 12 to 14.
  - achievement records that are not matched to the census.
  - guest or subsidiary aims.
  - withdrawals (aims that do not generate any funding in the year as learners withdrew before meeting the funding start criteria).
  - re-sits.

12. For schools where there were 20 or fewer starts (aims minus transfers), the national retention rate was used. For the achievement element, if there were fewer than 20 starts (aims minus transfers) the national achievement rate was used.
13. Only aims with a planned end date in the 2007/08 academic year were selected.
14. There are a number of benefits of using the qualification success rate measure.
  - Improved parental and student choice as parents and students will have consistent information across providers to inform their choices for post-16 education and training.
  - Improved quality and management in school sixth forms: schools will be able to analyse the performance of their students more rigorously for the benefit of learners, thereby aiding institutional self-improvement.
  - Head teachers and senior staff will be able to manage the curriculum more effectively and benchmark themselves against other schools and post-16 providers.
  - School improvement partners (SIPs) will have detailed 16–19 data to assess and measure a school's performance. Ofsted will be able to make consistent and rigorous judgements on the effectiveness of school sixth forms.
  - Using this comparable data will enable the YPLA, LAs and other interested parties to deliver more effective and efficient planning within the post-16 sector.

## **Recording the data**

15. For 2007/08 pupil details and learning aim information were collected in November (2007) and May (2008), through the appropriate fields being included within the school termly census.
16. In the census, schools need to record:
  - each pupil and that pupil's details;
  - the aims studied by each pupil, including the Qualification Accreditation Number (QAN);
  - the start and end dates of each aim;
  - the status of each aim.
17. It is very important that the start and end dates (both expected and actual end dates) and the status of each aim are completed accurately, as these are the key fields used in the census to calculate funding and success

rates. Inclusion of an incorrect end date, for example using the end of the academic year could result in those learning aims being excluded.

18. Schools should record all qualifications for which they expect to receive funding, including provision where funding is reduced by the maximum funding per learner as explained in companion document *Funding Rates and Formula*.
19. The data collected will provide a full history for an academic year, not just snapshot data on a particular date. This will allow the pupil record to be identified at any chosen time of the year.
20. During the year, schools should indicate the status of each aim. The options available are:
  - ‘transfer’ – when a student ceases studying for one qualification in order to start on a new, often related, qualification;
  - ‘withdrawal’ – when a student ceases a qualification without any consequent new/replacement qualification being started;
  - ‘completed’ – when the aim has been completed, irrespective of whether the aim has been achieved or not;
  - ‘continuing’ – when the aim is not yet complete and study is continuing.
21. The difference between a transfer and a withdrawal is especially important for funding and performance purposes as a transfer is not taken into account when calculating qualification success rates but a withdrawal is. A withdrawal is treated as if the pupil has stopped studying for that qualification.
22. Schools should take care to indicate those students who have withdrawn from any qualifications within the funding start period. These records are not considered when calculating success rates.
23. Good practice encourages schools to modify the database as pupils modify their qualifications during the year, thereby saving the school work when the data is required by the DfE.
24. Schools should ensure that they return data by the stated deadlines with accuracy paramount as this data is used to calculate allocations.

## Support for schools

25. The DfE provides extensive guidance for schools to help them complete the census. It also provides support via a helpdesk. Further details are available at: [www.teachernet.gov.uk/post16data](http://www.teachernet.gov.uk/post16data).

# Annex E: Foundation Learning

1. The YPLA funds through local authorities a number of colleges, schools and other providers to deliver foundation learning. This annex is included to assist them in ensuring funding reflects their delivery to learners.
2. Foundation Learning covers education provision at entry levels 1, 2 and 3 and at level 1, and the qualifications at these levels within the Qualification and Credit Framework and functional skills. Foundation Learning will be implemented nationally from 2010/11.
3. Foundation Learning is delivered in personalised Foundation Learning programmes and is specifically designed to promote individual progression as well as helping learners to achieve formal qualifications at entry level 1, 2 and 3 and at level 1 of the QCF and functional skills.
4. Learners are supported by a 'wrap-around' of information, advice and guidance, effective initial assessment, comprehensive ongoing review, and provider collaboration. Further information on the qualification offer can be found at: <http://www.qcda.gov.uk/resources/5612.aspx>.
5. Personalised Learning Programmes encompass three distinct components:
  - Subject vocational knowledge, skills and understanding,
  - functional skills,
  - personal and social development.
6. Providers design programmes for their learners using units and qualifications at entry level 1, 2 and 3 and at level 1 of the QCF. These programmes do not have a prescribed size.
7. Personalised Learning Programmes are intended to provide progression to:
  - Subject vocational knowledge, skills and understanding,
  - further learning;
  - employment (during the transition to RPA) which is sustainable;
  - supported employment;
  - living more independently,
8. Foundation Learning is funded through the standard YPLA funding system and there are no specific arrangements. Therefore all the requirements of the funding guidance apply. Foundation learners will qualify for curriculum entitlement funding and ALS where they meet all the other requirements to do so.

9. In 2010/11 there will be three types of learning being funded:

### **Qualifications funded – Group 1**

10. Foundation Learning Programmes consisting of QCF Qualifications and functional skills drawn from the Foundation Learning Catalogue and if this is not possible for some elements then other qualifications or non-externally certified learner responsive provision. Given that QCF qualifications for FL are expressly designed to be more flexible and inclusive, in effect lowering the hurdle into accredited learning, and given the importance of qualifications achievement for progression, all learners should participate in accredited provision as soon as is possible within their FL programme. Providers should aim to deliver at least 90% of their SLNs for new starts on Foundation Learning as accredited qualifications and entitlement/enrichment funding. Qualifications may be either Listed (that is, have a set SLN value) or be unlisted (that is, where the provider defines the glh in which the qualification will be delivered in.

### **E2E carry-over– Group 2**

11. These are E2E carry-over learners which are funded at a weekly rate with progression and qualification bonuses, as in previous years.

### **Foundation Learning weekly funding – Group 3**

12. This leaves around 10% of the SLNs that can be delivered as weekly funded FL. This does not mean the continuation of E2E programmes for some learners, rather it provides some flexibility within FL programmes for what should be a minority of learners for most providers. It is for the provider to determine which learners require a period of weekly funding subject to the provider remaining within its allocation for the weekly funding programmes and only in the circumstances set out in next three paragraphs below.
13. The learner is not currently able to participate in provision that can lead to QCF outcomes because they need a period of stabilisation, orientation or preparation before they can enrol on a qualification. Providers take account of the opportunities even within an induction period for learners' participation and engagement to lead to QCF outcomes – see for example the LSIS learner journey resource at: <http://www.excellencegateway.org.uk/page.aspx?o=256328>).
14. Or, where there is not an appropriate qualification available on the QCF at this time. In reaching that conclusion, providers should have consulted the QCDA Foundation Learning qualifications catalogue which currently lists more than 720 qualifications. Consideration should also be given to how generic qualifications, especially at entry level 1 and 2, can in fact be delivered in specific vocational contexts. Should there not be the immediate prospect of a suitable qualification being available the provider is required to seek alternative NQF or other qualifications and in the meantime apply the principles of RARPA.

15. Or, where the learner has a section 139A assessment that clearly identifies that the learner needs a specialist programme that can not be accredited.
16. Should providers require more than 10% of SLNs to be delivered as weekly funding or wish to deliver non-externally accredited provision as part of a foundation learning programme, especially where they focus on young people who may be more challenging in terms of qualifications achievement, they should submit a short business case to their funding body for written approval.
17. Any provision delivered outside of foundation learning is subject to the normal eligibility rules set out in Section 3 of the main document.

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### **Young People's Learning Agency**

Cheylesmore House  
Quinton Road  
Coventry  
CV1 2WT  
0845 337 2000  
[ypla.gov.uk](http://ypla.gov.uk)

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Young People's Learning Agency

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