

## 2013-14 student activity data guidance for colleges: SUMs Guidance

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Summary: This document provides guidance notes on the collection of 2013-14 student activity data.

FAO: Principals and directors of Scotland's colleges

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## **Section 1 - SUMs guidance core principles**

### **Purpose**

- 1 The annual collection of statistical data from colleges is of key importance in determining the Scottish Funding Council's (SFC's) funding allocations. It forms the basis for the accurate accounting of the performance of each college. It ensures that further education college activity is correctly counted and reported, and that funding is correctly allocated in the related academic year (AY). This underpins the duty of SFC to fund college provision of high quality in Scotland.

### **Legal definition of further education**

- 2 Section 5 of Part 1 of the *Further and Higher Education (Scotland) Act 2005* outlines a definition of fundable further education (FE) and higher education (HE) provision.

[http://www.opsi.gov.uk/legislation/scotland/acts2005/asp\\_20050006\\_en\\_1](http://www.opsi.gov.uk/legislation/scotland/acts2005/asp_20050006_en_1)

This Act cross refers to the definition of 'fundable further education' in subsection (5)(b)(ii) to (iv) of section 1 (duty of education authorities to secure provision of education) of the *Education (Scotland) Act 1980*.

[http://www.opsi.gov.uk/RevisedStatutes/Acts/ukpga/1980/cukpga\\_19800044\\_en\\_1](http://www.opsi.gov.uk/RevisedStatutes/Acts/ukpga/1980/cukpga_19800044_en_1)

- 3 It is in the above context that this guidance has been developed in order that the programmes delivered, the associated levels of participation and the programmes and students which qualify for funding may be identified with confidence and consistency.

### **Eligibility for SUMs funding for colleges**

- 4 SFC provides grants to colleges who undertake to deliver a specified volume of activity measured in weighted student units of measurement (WSUMs). This guidance sets out our core principles for eligibility for SUMs funding and the programmes and students eligible for SUMs funding.

### **Changes in 2013-14 compared with 2012-13**

- 5 The supplementary Ministerial letter of guidance in January 2013 asked SFC to consider changing funding rules to facilitate college delivery of innovative programmes to support the development of high levels of employability skills.
- 6 We have made changes to the amount of funded activity that can be claimed for work placements for all non-advanced courses, up to and including SCQF

level 6, to encourage establishment and development of work placements. This is to incentivise the number of work-based college placements and is in recognition of the resource and administrative burden to colleges of arranging and monitoring placements. For AY 2013-14, colleges can claim work placement hours up to a maximum of 50% of the rate of learning hours, for all non-advanced courses funded by SFC, up to and including SCQF level 6. Further detail can be found in paragraph 102.

- 7 After discussion with the sector and in advance of a formal review of weightings, we have simplified and revised the dominant programme group (DPG) subject weightings for AY 2013-14. This process allows greater flexibility as a result reducing the number of weightings for the sector from 9 to 8. The DP group revised weightings can be found at Annex C.
- 8 Also in discussion with the sector, and to bring into line the qualifying timescales used by the University sector, we are simplifying the 25% funding qualifying date and revising the cut-off for full-time enrolments to 1 November for programmes commencing in the summer session.

### ***College resources***

- 9 The principal determinant of main recurrent grant is fundable student activity. The way in which SFC allocates core activity funding is not based on financial claims and therefore there is not a direct relationship between funding and costs incurred. However, there should be a significant resource input deployed for each student learning programme (allowing for the use of non-SFC income) as this is the main purpose of SFC's funding.
- 10 Programmes of learning which are fully funded from non-SFC sources are not eligible for funding. SFC resources are limited and should only be applied when other sources of funding are not available. Therefore, colleges may determine provision that is not eligible for SFC funding (e.g. if a college wants to run a course that would otherwise be eligible for SFC funding as full cost recovery, then it may do so). That said, colleges must always consider the full impact of these decisions on their student support and fee waiver allocations. Student support and fee waiver funds are cash limited and cannot be guaranteed.
- 11 College management information systems must be capable of clear differentiation between the programmes that are fundable by SFC and those which are not. Where a course is part-funded by another source the college must be able to identify that the SUMs funds account for a significant element of the course resource input before putting the activity towards their WSUMs target. The value of funding claimed from SFC should not be excessive in relation to the cost incurred by the college.

### ***Courses fully funded from non-SFC sources***

- 12 Where students or their employer are charged a fee for the full cost of their course the students are regarded as non-fundable and SUMs should not be claimed. For the avoidance of doubt, in cases where the course is a collaborative course, for example with a commercial partner, this is regardless of whether the college or the collaborative partner received the fee. In order that we get a full picture of what colleges are delivering, colleges should report any full cost activity on the Further Education Statistics (FES 1) return.

### ***Collaborative provision***

- 13 Your attention is drawn to the guidance on collaborative provision which can be found at paragraphs 58 and 59 of this guidance.

### ***Work contracted for Department for Work and Pensions or Jobcentre Plus***

- 14 Work contracted for the Department for Work and Pensions (DWP) or Jobcentre Plus is non-fundable (see section 5). This includes the Work Programme. However, we understand that changes by these organisations may give rise to a greater expectation of more collaborative and flexible working with colleges. If any college has a query in this area, they should contact SFC for advice in the first instance.

### ***Level of college engagement with students***

- 15 SFC provides funding in order to help improve the employment prospects and/or personal progression of students. Students should only be enrolled on programmes which are suitable for their needs and abilities and all programmes should make an appropriate addition to the students' on-going development. Funding is provided for students who have been properly enrolled with the college, whose learning is being supported by the college and whose individual educational requirements are being met by the college. There should therefore be a proper level of engagement with the student which is pro-active, managed by the college and relates to the funding implicitly being claimed in respect of that student from SFC.

### ***Funding of 'other' college activity***

- 16 Aspects of college activity which are not directly tuition based, such as information giving, marketing, student guidance and/or counselling and the use of study resources should not be recorded as separate funded activity. Preparatory courses/taster courses, teaching packages used to supplement the main course of study, and programmes offered as repeat opportunities are also not eligible for funding. However, preparatory courses/taster courses that are part of a school/college partnership agreement are eligible for funding. The

above aspects are integral parts of courses and should therefore comprise part of the main course of study.

## **Returning data**

### ***Relationship between FES and SUMs returns***

- 17 SFC statistical data are collected through two main sources:
  - The FES return - this collects data on all FE provided in Scotland
  - The SUMs return - this collects data on FE activity that is eligible for SFC funding
- 18 The FES and SUMs returns are linked because the collection of FES data will include the SUMs data relating to SFC-funded activity in colleges in AY 2013-14. These notes provide guidance on the interpretation of those elements and requirements of FES which relate to SUMs data.
- 19 The FES 1 return should cover all courses/programmes (vocational, non-vocational and any commercial activity) run by the college. Courses/programmes not fundable by SFC, as defined in this guidance, should be included but given a zero SUM count. Section 5 of this guidance should be read thoroughly in order that fundable and non-fundable courses/programmes may be differentiated with accuracy. Colleges must supply the necessary data, using the procedures described in these guidance notes. Care must be taken in the application of the criteria used in determining the eligibility of students to be counted for each fundable programme, the main elements of which are described in this guidance.
- 20 The software used by colleges should produce the FES flat files. The SUMs data for the relevant AY will be generated by these systems and returned to SFC through the FES process.
- 21 Copies of the FES 1, FES 2, FES 3 and FES 4 notes of guidance for 2013-14 can be found on [SFC's website](#). The timetable for the return of the required data was published in early 2013.

### ***Categorisation of data***

- 22 Colleges categorise the data they provide to SFC in various ways. Some of this data is used for statistical purposes only, whereas some is used for funding purposes. Further, much of that categorisation is very straightforward and does not require the college to exercise a judgement (e.g. a student's age). An example of where judgement sometimes is required is the categorisation of superclass or courses by programme group. Where colleges are required to exercise judgement in categorising data provided for an AY (which will be used

for funding purposes), they should ensure that categorisation reflects the relative cost differences implied by SFC's funding approaches.

### ***Additional support needs***

- 23 Activity for students with additional support needs carries an enhanced weight. This takes two forms:
- 'Dominant group 18 programmes' (DPG18) attract the highest subject weighting of 1.8
  - The course weighting for students receiving 'extended learning support' (ELS) is increased by 1.5
- 24 Colleges making claims for funding of additional support needs activity must provide evidence that they have assessed the individual support measures required to assist the students in overcoming barriers to learning, in accordance with the guidance, and have recorded these in a personal learning and support plan (PLSP) for each student.

### ***Data accuracy and audit***

- 25 College principals should ensure that all staff involved in the task of preparing SUMs and FES returns are provided with a copy of these guidance notes and covering circular. The Principal must be satisfied that the FES return is accurate.
- 26 Colleges must seek assurances from their internal auditors on the robustness of their data. Colleges are reminded of the need to establish systems and procedures to facilitate audits. Colleges should forward the audit guidance to their internal auditors. We anticipate that colleges will wish to examine their procedures in light of both the audit and SUMs guidance to ensure continued data quality.

### ***Structure of guidance notes***

- 27 The fundability of provision is dependent on the nature of both the courses/programmes and the participating student. Accordingly, the guidance notes address:
- The administration of the FES 1, FES 2, FES 3 and FES 4 returns
  - Characteristics of courses/programmes which are fundable
  - Characteristics of students who are fundable
  - The methodology for the calculation of the SUMs value of different elements of fundable provision

## Section 2 - The Further Education Statistical (FES) return

- 28 The FES data collection guidance notes and code lists for completion: academic year 2013-14 can be found here:  
[http://www.sfc.ac.uk/guidance/SubmittingStatisticalInformation/FE\\_statistical\\_data/stats\\_fe\\_info.aspx](http://www.sfc.ac.uk/guidance/SubmittingStatisticalInformation/FE_statistical_data/stats_fe_info.aspx)
- 29 As explained in Section 1 of these guidance notes, the collection of FES data will include the SUMs data relating to fundable college activity. The pattern and duration of attendance is important in differentiating the uptake onto the range of programmes of study, the flexibility with which provision may be made, and hence its accessibility and cost. FES 1 collects information on all courses/programmes. FES 2 collects full student information for fundable courses. Student details for full-cost recovery courses are not required. FES 3 holds details of each individual programme element for which the student attended at least once. FES 4 contains the breakdown of student support allocations by recipient.
- 30 It is extremely important to avoid double counting of students. Periods of study and courses/programmes must be associated accurately with students and with units of funding.
- 31 The returns record the number of student enrolments and establish the link between fundable provision and qualifying students. It is essential for the appropriate FES guidance notes to be read in conjunction with this guidance.
- 32 Particular note should be made of the following in relation to FES 1:
- The requirement to record all courses/programmes, including self-financing and profit making courses/programmes, in colleges of FE. For detail, see FES 1 guidance notes, paragraph 1
  - The definition of a course/programme of study, its progressive nature and the general comment that the course/programme may be considered as any group of students with the same course particulars. For detail, see FES 1 guidance notes, paragraph 2
  - The qualifications and constraints which must be borne in mind in order to avoid double counting of students and the recording of appropriate modes of attendance. For detail, see FES 1 guidance notes, paragraph 2
  - The exclusion of consultancy. For detail, see FES 1 guidance notes, paragraph 1
  - The requirement for an appropriate enrolment process to have been completed by the student and the college

- The requirements for recording planned attendance and the definition of the 'required date'/funding qualifying date and the need for a student to attend beyond that date
- The accurate allocation of codes for course/programme details qualification and other fields in the return

33 In relation to form FES 2 the following should be noted:

- The requirement for full FES 2 data to be supplied for all students on fundable or non-fundable courses. For detail, see FES 2 guidance notes, paragraph 1
- To ensure internal consistency a FES 2 return must be made for each student on a course/programme, whether or not they meet the 25% attendance criteria/funding qualifying date. For detail, see FES 2 guidance notes, paragraph 2
- Where part-time students attend more than 1 course/programme, colleges should ensure that the FES 2 student details are recorded for each and every FES 1 programme/course. For detail, see FES 1 guidance notes, paragraph 2
- No student should be counted more than once against a single FES 1 record. For detail, see FES 1 guidance, paragraph 2
- The accurate allocation of codes and individual student details in the return. For detail, see FES 1 and FES 2 guidance

34 Many of the elements listed above will be referred to later in these guidance notes in the consideration of programmes and students qualifying for funding. Some elements which are administrative requirements and which require definition or clarification of purpose are described in section 3.

### **Section 3 - Data assessment elements**

- 35 Sections 5 and 6 of these guidance notes describe the criteria against which fundability of provision is assessed. It is important that the elements of the FES returns described below are completed with accuracy.

#### **Course/programme title (FES 1)**

- 36 Colleges should enter, where they exist, nationally recognised course/programme titles including, as appropriate, an indication of level or stage, e.g.
- Scottish Vocational Qualification (SQA) Administration (level 2)
  - Association of Chartered Certified Accountants (level 3)
- 37 Internal college course titles should be entered where nationally recognised course/programme titles do not exist. Such titles should provide a clear indication of the subject studied. Titles such as 'Training for Work', 'Outreach Education and Training', 'Open Learning', 'Summer School', acronyms or references to college facilities such as 'Widen-Access Annexe' should be avoided. Please note that colleges should record all English for Speakers of Other Languages (ESOL) related and ESOL activity by including "ESOL" in the course title. Colleges should also note that there is a separate code for Partnership Action for Continuing Employment (PACE) activity. In addition, there is a separate field that should be used to flag students funded through the European Social Funds (ESF) project. A code has been added for provision through the Work Programme. This provision is non-fundable.

#### **Dominant programme group (FES 1)**

- 38 For most courses/programmes, the college software allocates a single DPG number in the range 1-18, representing the predominant area of study of the course. This determination is based on the prior allocation by colleges of the study elements it offers to the groups listed in superclass code list F of FES 1 guidance notes. Correct allocation of DPGs is essential as this directly affects the weighting applied to the funded units to which a college is entitled. The DPGs and funding weights are set-out in Annex C.

#### **Additional support needs**

- 39 Section 17 of these guidance notes sets out our guidance on making claims for activity specifically designed for students with additional education support needs (DPG18) or claims for additional support for students on non-specialised courses (ELS).

## **Number of students (FES 1 session count)**

40 The number of students to be counted against a course/programme is determined as detailed in paragraphs 41 to 48 below.

### ***Planned attendance***

41 For AY 2013-14, for full-time courses/programmes where classroom attendance is planned (and recorded), the number of students to be counted is the number enrolled on the course in the summer session who continue their participation after the 'required date' of 1 November.

42 For other FT and PT courses/programmes where classroom attendance is planned (and recorded), the number of students to be counted is the number enrolled on the course who continue their participation after the date on which 25% of the course's duration in days has elapsed.

43 Procedures for accurately recording withdrawals: Colleges should note that where the date of last participation and withdrawal date are different, it is the date of last participation which should be used when determining whether a student has met the 25% required date.

44 Criteria have been established and are listed in the FES 1 guidance (under 'attendance criteria') to determine inclusion in the student counts. Compliance with the definitions therein is essential. However, for the avoidance of doubt, the following should be noted:

- Ongoing participation after the 'required date' is required. Submission of a medical certificate in the absence of physical attendance is not acceptable and must lead to exclusion from the count
- The duration of a course/programme in days is simply the number of days on which participation is required in respect of the course, regardless of the number of timetabled hours on each day (for example, the total number of days for a course/programme which requires participation for 15 hours per week spread over 3 days each week for 14 weeks, followed by participation for 9 hours per week spread over 2 days each week for 25 weeks, giving a total of 92 days (the hours per week being irrelevant to this calculation)). The 'required date' for such a course would be the date on which the 23rd day of attendance required by the course fell
- For planned provision with defined start and end dates, the course start date must be used in determining the 'required date', not the student start date (if the two are different)

### ***Non-planned attendance (open/distance learning)***

- 45 For courses/programmes where classroom attendance is not planned (e.g. open learning, distance learning, courses involving Accreditation of Prior Learning (APL)), then the numbers of students who are ordinarily resident in Scotland and who have enrolled, paid the required fee, and continued to participate in their agreed programme, defines the student number for the course/programme. In this context, students who have formally had fees waived should be considered to have paid their fees. Also see section 4 on the enrolment process.
- 46 It is the residency condition that determines the fundability of open/distance learning activity. By the very nature of open/distance learning, it is possible for students studying such courses never to visit the college, or indeed Scotland.
- 47 Therefore, activity generated by open/distance learning students who do not meet the residency condition at the time of enrolment are not eligible for funding.

### ***Mixed planned and non-planned attendance***

- 48 For courses/programmes where classroom attendance is part-planned and part non-planned, the number of students is determined in a manner analogous with a fixed course if more than 50 per cent of student hours comprise planned attendance. Otherwise students should be counted as if the course/programme were non-planned.

### **Comment**

- 49 To assist SFC in analysing the returns, a covering letter should be supplied to explain any returns or elements of returns that are not straightforward.

## **Section 4 - The enrolment process**

- 50 Completion of an appropriate enrolment process is necessary as this represents the formal teaching contract between the student and the college.
- 51 Colleges need to provide evidence that a student is enrolled and is participating in a college programme. Where colleges use an online admissions and/or enrolment system and can demonstrate robust business and audit processes, the acceptance of an electronic admissions/enrolment signature will be deemed appropriate and will not also require a physical signature. Such a system should produce an audit trail that includes the following:
- The date, time and nature of the action
  - The identity of the user (generated by their unique log-in)
  - A declaration that has been approved by the user
- 52 Where colleges use a paper-based or manual system a physical signature will still be required for admissions and enrolment tasks. Please refer to paragraph 112 for arrangements for enrolment of school pupils.
- 53 For students flagged as qualifying for European Social Funds we ask that colleges obtain a physical signature from the student. This is to ensure compliance with European audit requirements.
- 54 Packages of distance or open learning enable students to proceed at their own pace. Nevertheless, an agreement on the likely duration of study, together with time-related milestones, should be made at the outset as part of the enrolment process and subsequently kept under review.

## Section 5 – Programmes eligible for funding

- 55 In order to qualify for funding the courses/programmes of study must be consistent with the definition of FE contained in:
- FES 1 guidance notes, paragraph 2
  - Paragraph 2 of these SUMs guidance notes
  - The FES 1 source of finance for programme (code list C) coded as 09
- 56 Courses/programmes do not qualify for funding if the programmes of study fall outwith the range of those listed in section 5, or have not been included in full in the FES 1 returns which includes the FES 1 source of finance (code list C) being coded other than 09.
- 57 College management information systems must be capable of clear differentiation between the programmes that are fundable by SFC and those which are not.

<b>Fundable programme activity includes</b>	<b>Non-fundable programme activity includes</b>
<ul style="list-style-type: none"> <li>• Vocational programmes of FE or HE. This includes courses/programmes provided for school pupils who have been enrolled as students of the college and are being taught on a regular basis by a college tutor (this tutoring can either take place on school premises, within the college or an alternative venue)</li> <li>• Non-vocational courses/programmes which may prepare students for future participation in vocational FE, or for progression to more advanced levels of study. Such programmes include courses of basic literacy or numeracy provision</li> <li>• Courses/programmes preparing students, whose first language is not English, to achieve a level of competence in the English language</li> <li>• Such courses/programmes of community education which colleges</li> </ul>	<ul style="list-style-type: none"> <li>• Programmes for which a student has not participated in and/or completed an appropriate enrolment process (see section 4)</li> <li>• Pre-entry and/or pre-exit courses or periods of student guidance and/or counselling</li> <li>• Short courses under 0.25 SUMs (10 hours) in length will not be eligible for SUMs funding, with the exception of courses which are part of a school/college link or contribute to wider access or meet specific training needs of unemployed people. For example: <ul style="list-style-type: none"> <li>- widening access programmes designed in response to local community needs. These would normally be designed with local Community Planning Partnerships in response to the priorities of local community learning and development plans;</li> </ul> </li> </ul>

<b>Fundable programme activity includes</b>	<b>Non-fundable programme activity includes</b>
<p>may provide</p> <ul style="list-style-type: none"> <li>• Youth/adult training programmes including Skillseekers which are not offered as part of provision made under the Work Programme, nor mounted as commercial activities, nor run under external contracts such as Scottish Prison Service or nurse education</li> <li>• Additional part-time activity offered to students and which, in respect of subject area, is completely distinct from the main course of study. The definition of a main course/ programme of study is one which generates the majority of SUMs achieved by a student. This could be either part-time or full-time course. For example, where a student enrolls on a course/programme in hairdressing and a course/ programme in engineering, then the student activity associated with both courses/programmes would be fundable. When considering whether a course should be categorised as additional part-time activity, colleges should also note the guidance on related study at section 10. Colleges should also consider the conditions of the fee waiver grant policy when considering additional part-time activity</li> <li>• The tuition elements of training programmes contracted through Skills Development Scotland or sub-contracted with another provider which involve off-the-job training. (We do not expect colleges to claim SUMs for college placements relating</li> </ul>	<ul style="list-style-type: none"> <li>- programmes which support school pupils' vocational learning as part of school/college link programmes; or</li> <li>- certificated courses geared to specific employment-related training such as food hygiene, gas safety, manual handling, etc. where market circumstances mean that the college is unable to charge full cost.</li> <li>• Leisure and recreation provision</li> <li>• Short duration visits to college (excludes school/college activity)</li> <li>• Information-giving or marketing seminars</li> <li>• Alternatively activity in student drop-in centres which does not support the flexible delivery of a programme for which the student is enrolled attendance at sports or other social/recreational clubs (unless that venue is being used to deliver school/college links)</li> <li>• On-course non-academic student guidance and/or counselling</li> <li>• Learning packages made available to supplement the main course of study courses or packages of learning materials made available to school pupils who have not been enrolled as students of the college and who are not being taught on a regular basis by a college tutor</li> <li>• internal programmes of staff development which do not involve day release or equivalent enrolment for a recognised qualification</li> </ul>

<b>Fundable programme activity includes</b>	<b>Non-fundable programme activity includes</b>
<p>to SDS or other agencies work schemes)</p> <ul style="list-style-type: none"> <li>• Provision provided as part of the Young Person’s Guarantee (subject to meeting the conditions of this guidance)</li> <li>• Internal programmes of staff development which involve day release or equivalent enrolment for a recognised qualification (eg such as Professional Development Awards)</li> </ul>	<ul style="list-style-type: none"> <li>• Programmes offered as repeat opportunities following student failure earlier in the session</li> <li>• Supplementary programmes of study offered to students which do not conform with guidance on related study. When considering whether a course should be categorised as additional part-time activity, colleges should also note the guidance on related study at section 10. Colleges should also consider the conditions of the fee waiver grant policy when considering additional part time activity</li> <li>• Work contracted for the Jobcentre Plus</li> <li>• Work contracted for the DWP</li> <li>• Any work provided through the Work Programme</li> <li>• Any joint collaborative arrangement provision which does not meet the criteria set out in fundable course section (see paragraphs 58 and 59)</li> <li>• Programmes mounted as commercial activities which are planned and costed to break even or to produce a financial surplus for the college. These programmes include those funded by Higher Education Institutions and those run under external contracts such as those for nurse education or the Scottish Prison Service (SPS)</li> <li>• Provision for prisoners is generally not eligible for funding, as it is provided under a formal external contract with the SPS. Where, exceptionally, a college is providing education for</li> </ul>

Fundable programme activity includes	Non-fundable programme activity includes
	<p>prisoners outwith a formal external contract with the SPS, the provision will be fundable provided the college providing the education has ensured that prison inmates on such programmes have had their learning needs assessed as being outwith the provision available under the SPS.</p>

58 Collaborative provision is fundable where:

- Delivery of the provision is by staff under the direct management of the college by a contract of service or a contract for services for which the college pay for the staff who deliver the work or as self-employed individuals or through employment/staffing agency arrangements or, in the case of colleges working with the voluntary sector, by staff managed by the voluntary body but subject to the contract arrangements between the voluntary body and the college
- The collaborative provision is subject to the college's quality assurance arrangements

59 The following criteria for collaborative arrangements would also have to be met:

- The activity should take place in Scotland
- All course materials or advertising literature should include the college name and/or logo
- Colleges must be able to demonstrate a significant and ongoing resource input (in terms of course/programme development, management and delivery)
- In the case of students following packages of open or distance learning, as part of the enrolment process, an agreement on time related milestones must be made which should subsequently be kept under review
- Colleges must retain the right to inform/comment on decisions regarding staff delivering the programme under a joint collaborative arrangement

## Section 6 – Student eligibility

60 The following table sets out the criteria for fundable and non-fundable students.

Fundable criteria	Non-fundable criteria
<p>Students are <b>fundable</b> if they:</p> <ul style="list-style-type: none"> <li>• Have completed an appropriate enrolment procedure for the course (see section 4)</li> <li>• Have participated at least once after the ‘required date’ of 1 November for full-time courses that commenced in the summer session</li> <li>• For other courses, have participated at least once after the point at which 25% of the course’s duration in days has elapsed</li> <li>• Qualify for the course or programme of study through possession of appropriate entry qualifications or personal background</li> <li>• Are enrolled at the college providing the course or programme of study, or the major part of that provision (FES 2 paragraph 5)</li> </ul> <p>and <b>one</b> of the following apply:</p> <ul style="list-style-type: none"> <li>• They are considered ordinarily resident in the EEA (for definition of the term ‘ordinarily resident’ colleges should refer to Schedule 2 of the <i>Education (Access Funds) (Scotland) Determination 2009</i>)</li> <li>• The student is a person, or the spouse or child of a person who is an asylum seeker living in Scotland (as defined in the <i>Nationality, Immigration and Asylum Act 2002</i>) on either an ESOL course (either full or part-time) or another advanced or non-advanced part-time course</li> </ul>	<p>Students are regarded as <b>non-fundable</b> if:</p> <ul style="list-style-type: none"> <li>• They or their sponsor have paid the full cost of the course</li> <li>• They are supported through the Work Programme either directly through a contract being placed with the college, or through release from an employer or other agent who has such a contract</li> <li>• They are prisoners, except in the circumstances referred to in section 5</li> <li>• They are not covered by the criteria for fundable students</li> <li>• The student is part of the Work Programme</li> </ul>

Fundable criteria	Non-fundable criteria
<ul style="list-style-type: none"> <li>• The student is a child of an asylum seeker or a young asylum seeker person ('asylum seeker' as defined in the <i>Nationality, Immigration and Asylum Act 2002</i>) on a full time non-advanced course (excludes ESOL)</li> <li>• The student is a non-asylum seeker, living in Scotland on a part-time ESOL course and the student's main purpose for being in the EEA is not to receive education</li> <li>• State school pupils undertaking college activity that forms part of their school based curriculum</li> </ul>	

- 61 A student who is fundable must be recorded as such in the FES returns made by the college and must be clearly associated with an appropriate mode of study on both the evidence of enrolment and the FES returns.
- 62 The level of funding is normally proportional to the participation expected of a full-time (FT) student and is linked with the level of study, i.e. whether the programme is classified as HE or FE (see section 9).

### ***Students from England***

- 63 In circumstances where specialist provision is not offered locally, students who are resident in England and commute to a Scottish college to study may be eligible for funding. These students and their courses must meet all the other SFC eligibility criteria for funding. This does not apply to students studying distance learning courses. Colleges should not recruit entire groups of students from outside their local area. These students should be referred to the possibility of distance learning programmes delivered by their local provider in England.
- 64 Colleges that wish to return students resident in England during their studies as eligible for funding are asked to make a specific request in writing. This request should detail the circumstances that have led to the college enrolling students resident in England and the approximate number of such students likely to be returned as eligible for funding in 2013-14. The request should be sent to us a month before SUMs data is submitted.

***Exceptions for students classified as non-fundable***

- 65 If a college has, for good reason, levied a rate of fee on non-EU students, who are not covered by the funding eligibility criteria, which is less than full cost, such students may be considered to be fundable and included in the returns. An example of this might be a student who due to circumstances just falls short of eligibility criteria.
- 66 If such returns are made each must be accompanied by a letter explaining the circumstances for each student. Should the reason for the reduction not be acceptable such students will be deemed to be non-fundable. The letter should be sent to us a month before the deadline for the SUMs data.

## **Section 7 – Maintenance of college records**

- 67 Colleges should note that copies of enrolment forms, Personal Learning and Support Plans, and any other student information which is currently held by colleges, should be retained, for audit purposes, for a period of at least five years. Please note that separate specific guidance is applicable particularly in relation to the maintenance of student records for activity relating to the 2013-14 economic downturn funds due to its link to European Social Fund funding.
- 68 Colleges do not need to retain copies of the evidence for fee waiver back up documentation. For audit purposes all students must demonstrate their eligibility for fee waiver by presenting college officials with appropriate documentary evidence (for example, from the DWP, the Jobcentre Plus, or the HM Revenue and Customs). The college officials must view this evidence prior to fee waiver grant being claimed. It is the responsibility of colleges to verify that students have produced appropriate evidence. The college should be able to provide summary details of the nature of the evidence presented if requested.
- 69 As with enrolment, we recognise that students with certain disabilities may find forms and traditional attendance processes inaccessible. New technology may facilitate the maintenance of college records for students, however in these cases colleges should ensure appropriate alternative attendance information is gathered.

## Section 8 – Higher education<sup>1</sup>

70 Advanced or HE is defined as being any of:

- A course at a higher level in preparation for an HND or HNC
- A first degree course
- A course for the education and training of teachers
- A course of post-graduate studies (including a higher degree course)
- A higher level course in preparation for a qualification from a professional body
- A higher level course not falling within any of the categories above

71 A course is regarded as providing education at advanced or HE level if its standard is higher than the standard of courses in preparation for examinations for:

- Higher Still/Advanced Highers
- General Certificate of Education (GCE) of England and Wales or Northern Ireland at advanced level
- Scottish Qualifications Authority (SQA) National Certificate

72 Post-graduate studies include a course following the award of a higher diploma or certificate.

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<sup>1</sup> The full definition is given in section 5, subsections (3) to (5) of Part 1 of the *Further and Higher Education (Scotland) Act 2005*: [http://www.opsi.gov.uk/legislation/scotland/acts2005/asp\\_20050006\\_en\\_1](http://www.opsi.gov.uk/legislation/scotland/acts2005/asp_20050006_en_1)

## **Section 9 – Full-time, part-time and fixed tariffs**

- 73 An essential element of the funding process requires the differentiation between FT and other modes of learning.
- 74 It is necessary to ensure that FT provision is recorded correctly and, as part of the overall monitoring and reporting functions of SFC, for all other modes to be ascribed accurately. Full listing of modes and their definition is given in notes to FES 1 at Code list G. Modes other than FT are counted together in the funding process.
- 75 All activity returned in FES 1 and FES 2 should be based on planned activity. Planned activity should be calculated as follows:
- If the provision is credit-rated under the Scottish Credit and Qualifications Framework (SCQF)(or has a credit-rating that can be matched to SCQF), the SUMs value for the course should be equal to the course/programme's number of credits. SUMs should be calculated on the basis of 1 SUM per unit or module of credit in the course (a double unit is credited with 2 SUMs and a ½ unit with 0.5 SUMs and so on). You do not have to calculate the planned learning hours associated with these courses because they already have a notional number of hours associated with them
  - For AY 2013-14, colleges can claim work placement hours up to a maximum of 50% of the rate of learning hours, for all non-advanced courses funded by SFC up to and including SCQF level 6
  - If the provision is not credit-rated, the SUMs value should be calculated by dividing the number of planned learning hours by 40
- 76 Where course/programmes are made up of both credit-rated elements and additional non-credit-rated elements, the SUMs value should be obtained adding:
- The credit value for the elements that are credit-rated; to
  - The SUMs value for the non credit-rated element of the course (this should be calculated by dividing by 40 the number of planned learning hours for the elements that are not credit-rated)

### **Courses that qualify for full-time fixed tariffs**

- 77 FT fixed tariffs will be applied to courses/programmes in the following circumstances (in addition to our other relevant criteria for provision to be counted as fundable):

- FE (non-advanced) provision that has a SCQF credit-rating or credit-rating that can be matched to the SCQF: courses with 16 or more credits within one AY qualify for the 20 SUMs FT fixed tariff
- FE (non-advanced) provision that is not credit-rated: courses with at least 640 planned learning hours within one AY qualify for the 20 SUMs FT fixed tariff
- HE (advanced) provision that has a SCQF credit-rating or credit-rating which can be matched to the SCQF: courses with 12 or more credits within one AY qualify for the 15 SUMs FT fixed tariff
- HE (advanced) provision that is not credit-rated: courses with at least 480 planned learning hours within one AY qualify for the 15 SUMs FT fixed tariff

78 A maximum of one FT course/programme per year can be claimed per student. However, for any additional part-time activity, colleges should follow the related study guidance (section 10).

### **Part-time courses**

- 79 For courses/programmes that do not qualify for a FT fixed tariff colleges should calculate the SUMs value as follows with the exception of European Computer Driving License (ECDL) and Health for Life:
- If the provision is credit-rated, the SUMs value for the course should be equal to the credit rating
  - If the provision is not credit-rated, the SUMs value should be calculated by dividing the number of planned learning hours by 40

### **Planned learning hours**

- 80 Planned learning hours should represent a realistic and sensible estimation of the number of hours that students will usually be required to undertake in their programme of learning. Examples of what may be counted as planned learning hours include:
- Class contact time
  - Supported study time
  - Supported learning (online learning, blended learning, e-assessment and open learning)
  - Tutorial time
  - Any additional time which the college requires for delivering the course and supporting the student (e.g. assessment time)

- For work placements, colleges can claim  $\frac{1}{2}$  planned learning hours as SUMable. For example, for 160 hours, 80 hours can be claimed which equals 2 SUMS

### **European Computer Driving License**

- 81 For students taking the full set of 7 ECDL modules, 4 SUMs should be claimed. Please note that if the full set of 7 modules is not completed, colleges may only claim a proportion of the maximum 4 SUMs. There is no set value for advanced ECDL courses therefore colleges should determine the number of SUMs claimable in the usual way.

### **Highers and A levels**

- 82 For students taking SQA Highers, 4 SUMs should be claimed per Higher. For students taking GCE A levels, 6 SUMs should be claimed per A level.

### **Health for Life**

- 83 This course is based on guided learning hours as identified by educational service provider Sportsvine Ltd and all courses follow college quality and verification procedures. The guided learning hours are actually 90 hours and therefore we would expect a maximum claim of 2.25 SUMs per student. In addition to this, we would expect this provision to be weighted under programme group 08 Health.

### **Further information**

- 84 Section 14 and the flowchart at Annex A provide more information on how you should calculate the SUMs value for individual courses/programmes.

## Section 10 – Related study

- 85 It is our normal expectation that FT courses should be designed to cover the skill requirements of the students without the need for the student to undertake additional related study. Colleges should be able to provide appropriate justification of instances of legitimate continuation of study. This could encompass situations such as:
- Students completing a course/programme and deciding to tackle the next level in the same AY
  - Students having to undertake a ‘related’ course/programme to meet potential employers’ requirements
  - Students adding breadth to their studies, by enrolling on an additional course/programme at the same level, but which contributes to the student’s overall progression
  - Students enrolling on a number of PT courses which form part of an overall programme of study specifically designed for a student
- 86 In all instances, colleges should be able to provide evidence that the quantum of resources deployed for these enrolments are as would be normally expected in relation to the total SUMs claimed and that all courses make an appropriate addition to the student’s on-going development.
- 87 This related study guidance should only be applied to students undertaking additional PT activity. Please refer to the fee waiver grant policy for details on the eligibility of fees.

## **Section 11 – Infill students and courses**

- 88 As colleges become more efficient, flexible and responsive to individual student needs, individually tailored provision is increasing significantly. In order to maintain efficient group sizes students' needs may be accommodated through the process of in-filling into groups which have already formed as courses. There is considerable danger that such students may be included in the course list of students associated with the programme which is being in-filled rather than with the individually tailored course, or in both.
- 89 Colleges are reminded that separate course codes must be used to identify in the FES 1 any fixed length programmes made up for students in-filling FT programmes. To assist in audit, the infill programme title and/or code used should clearly link to the associated FT programme(s).

## **Section 12 – Programmes spanning academic years**

- 90 The majority of the programmes of a college will start and finish within one session (i.e. will start on or after 1 August and be completed on or before 31 July of the following calendar year). However, some may start in one AY and finish in the next (e.g. a FE FT programme may run from January to December). These programmes 'span' an academic session and care is required when returns for these students are made.
- 91 For all spanning programmes SUMs should only be claimed in the AY in which the course year ends. This means that for multiple year spanning courses SUMs should be claimed in the AY in which the course year ends for each year of the course.

### **Section 13 – Provision that qualifies for SUMs**

- 92 Provision for which SUMs can be claimed is that for which both the course/programme and the student qualify as fundable in accordance with the criteria established in sections 5 and 6 of this guidance. There may be occasions when non-fundable programmes are attended by potentially fundable students and when non-fundable students participate in fundable provision.
- 93 Funding information is required for each fundable course, see Paragraph 9 of the FES 1 for the relevant year. This seeks the DPG of the course, the number of ELS SUMs which may be attributable and the number of planned SUMs.
- 94 The accuracy of calculation and recording at this point is determined by the accuracy of recording of all the preliminary stages listed in this guidance in the appropriate returns.

## Section 14 – Allocation of SUMs to courses/programmes

95 The SUM values for all modes of learning on courses of advanced and non-advanced education are determined in the manner described below. This section should be read in conjunction with section 9.

### Fixed length courses

96 The SUMs values in the following table require the continued participation of a student after the 'required date' (the required date being 1 November for full-time courses commencing in the summer session, and for all other courses, the date after which the 25% attendance criteria has been achieved for the course). The flowchart at Annex A also summarises how you should calculate the SUMs value for individual courses/programmes.

Type of course	SUMs
Courses which are FT advanced (HE).	SUMs on the basis of 1 SUM per unit or module of credit in the course (a double unit is credited with 2 SUMs and a ½ unit with 0.5 SUMs and so on).
FT courses which are non-advanced (FE) and lead to recognised vocational qualification.	SUMs on the basis of 1 SUM per unit or module of credit in the course (a double unit is credited with 2 SUMs and a ½ unit with 0.5 SUMs and so on).
Courses falling into DPG18.	SUMs to the value of the total planned learning hours for each student divided by 40.
Courses or programmes which are of fixed length, and which lead to a vocational SQA or other approved award and which are not FT.	SUMs on the basis of 1 SUM per unit or module of credit in the course (a double unit is credited with 2 SUMs and a ½ unit with 0.5 SUMs and so on).
PT courses other than leading to recognised vocational qualifications.	SUMs to be calculated on the basis of total planned learning hours for each student divided by 40.
Courses or programmes of study leading to the award of SQA 'Highers'*.	4 SUMs per subject.
Courses or programmes leading to the award of GCE A levels.	6 SUMs per subject.
Courses which are recorded as in-fill (section 11).	SUM value of units listed on the discrete course record.
Courses spanning academic sessions (section 12).	SUMs should only be claimed in the AY in which the course year ends (see section 12).
ECDL.	4 SUMs for a student undertaking the

Type of course	SUMs
	full set of 7 ECDL modules. Please note that if the full set of 7 modules is not taken, colleges may only claim a proportion of the maximum 4 SUMs.
Health for Life courses.	Tariff for the course is set at 2.25 SUMs.
Work placements funded by SFC.	SUMs should be claimed at the rate of ½ working hours divided by 40.

\***Only** if the college is the presenting centre for the Higher may the full 4 SUMs per subject be claimed. Where the courses are non-certificated 'local' revision courses, SUMs should be calculated on the basis of total hours for each student

- 97 The measure of FT fundable student activity for provision outwith DPG18 will still be based on the tariffs of 20 SUMs for a non-advanced course and 15 SUMs for an advanced course.

### **Open and flexible learning**

- 98 Increasing demands on colleges for flexibility in meeting the study demands of both learner and their sponsors have led to rapid development of flexible and non-traditional methods of teaching and assessment. Much of this new provision is defined and described in terms which have a local meaning in a college which may differ from the understanding of the same term in another. Quantification and conversion to SUMs can be more difficult in these cases.
- 99 In allocating SUMs to open and flexible learning courses/programmes, colleges should follow the guidance at section 14, basing their calculations on the equivalent period of traditional tuition which would be required.
- 100 When a programme is delivered by flexible learning methods (e.g. open learning, distance learning and work-based learning) and the subjects involved have a nominal duration, the planned learning hours per student are derived from the duration of the subjects on which the student has both enrolled and completed within the session. Records of work of such students which record formal progress against a schedule with milestones agreed at enrolment must be maintained (see section 4). Where such subjects have no nominal duration, credited hours per student should be based on an estimate of the number of planned learning hours required for the student (this could be timetable lecture hours, use of flexible learning materials, or a combination of both). Distance learning students can study FT and in that case you should follow the guidance on calculating SUMs for FT activity.

### **Work-based learning and assessment**

- 101 When a programme involves the delivery of work-based units having no nominal duration, planned learning hours are to be interpreted as detailed above. However, if the college only provides assessment of the learning process then the planned learning hours should represent a realistic and sensible estimation of the number of hours that college staff spend providing assessment activity for the student. SUMs claimed should not be inflated to cover additional costs such as travel and marketing.

### **Work placements**

- 102 From AY 2013-14 an element of student's work placement can be claimable from SFC. We are proposing that colleges should be able to claim for half of the working hours as SUMable activity. Therefore if a student has a work placement requiring 320 working hours, 160 hours would be claimable meaning 4 SUMs. Colleges can only claim for non-advanced courses, up to and including SCQF level 6, that offer a work placement and only those where SFC is the main funder. Courses funded by SDS or other similar bodies would not be eligible for SUMs.

### **Learning delivered by a combination of modes**

- 103 Where learning is delivered through combinations of fixed length courses, open and flexible learning, and work-based learning, the guidance under the headings above should be used as appropriate for the different elements of delivery and added together to calculate the total SUMs value of the course.

## **Section 15 - Records of teaching input**

104 Some programmes will have SUMs totals derived using planned learning hours. This will include timetabled classroom and tutorial hours, timetabled supported study time and assessment time (see paragraph 86). For the purpose of the required audit, it is necessary that colleges continue to be able to substantiate the number of planned learning hours delivered for a programme where used to determine the programme's SUMs total.

## **Section 16 – School/college partnership**

### **School/college provision**

- 105 *Lifelong Partners* and the related guide for schools, colleges and Local Authorities (LAs) make it clear that colleges are expected to fund all tuition fees and teaching related activity for this provision (with the exception of study costs that the pupils would otherwise have to pay for).
- 106 For clarification purposes, the guide to *Lifelong Partners* outlines that LAs have the statutory responsibility for school pupils. In funding terms, colleges are responsible for funding the teaching of school/college provision to these pupils, LAs are responsible for funding free transportation, any study items required by the pupil (please see below) and, where applicable, free lunches.
- 107 We recognise that colleges and LAs work in partnership on a whole range of services some outwith the scope of *Lifelong Partners*. Colleges and LAs are free to negotiate funding for such provision.

### **Study items**

- 108 Colleges should only charge LAs for study items which would be chargeable to an adult taking similar provision. However, it is recognised that wastage of some study materials may be higher for school pupils due to their stage of learning development and that replacement items such as clothing and footwear may be required for school pupils due to growth and colleges may charge LAs for such reasonable additional costs. The national policy for FE bursaries provides a definition of study items.

### **Monitoring school/college activity**

- 109 Please note that a flowchart showing the activity that is currently considered as school/college as agreed with the Scottish Government for use in our monitoring procedures is shown as Annex B<sup>2</sup>. School/college activity outwith this flowchart may still be fundable if it meets the criteria in section 2 but will not be counted when monitoring the performance of your college in delivering school/college provision.
- 110 Colleges should ensure they code all of their school/college activity accurately in their FES return. This includes any activity that is

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<sup>2</sup> Please note that the focus of funding for school/college partnership activity is now on S3-S6 – please refer to SFC/14/2010 paragraph 9 - [http://www.sfc.ac.uk/web/FILES/Circulars\\_SFC142010/SFC1410\\_Main\\_grant\\_letter.pdf](http://www.sfc.ac.uk/web/FILES/Circulars_SFC142010/SFC1410_Main_grant_letter.pdf).

undertaken by the college for school pupils which is done in partnership with either a school, an LA or both. This includes activity for pupils who are of school age and who are disengaged from school i.e. supported through the More Choices, More Chances agenda, as long as it is done in partnership with the LA or related agencies.

- 111 Colleges should also ensure that they include all activity even where it has a low SUM value as this data is used to monitor the progress in achieving the Scottish Government's Lifelong Partners strategy. Please note that, for the purposes of school/college activity only, taster sessions, pre-entry, short duration visits and attendance at other venues for school/college purposes are all permissible.
- 112 In terms of the enrolment procedure for school pupils, there is no need to have a separate enrolment form for each student. It is acceptable to get a signed list from the school stating the pupils' names and, where the pupils are undertaking multiple courses, the list of which courses the pupils are taking. Please ensure that all school college data is accurately recorded in FES. This will ensure any future allocations or targeting of funds is accurate.

## Section 17 - Additional educational support needs

### Introduction

- 113 This guidance sets out how colleges can claim Extended Learning Support (ELS) or DPG18 programmes for students with support needs.
- 114 This guidance defines 'support needs', ELS, DPG18 programmes and the regulations for claiming these for funding purposes. Examples of personal learning and support plans can be found on our website at:  
[http://www.sfc.ac.uk/funding/needs\\_led\\_pilot.aspx](http://www.sfc.ac.uk/funding/needs_led_pilot.aspx)

### Core funding arrangements

- 115 The teaching funding methodology applies additional weightings to the funding the college is already receiving for students/courses when those students are identified as having educational support needs or the course they are attending is designed specifically to meet their educational support needs. There are two ways that colleges can claim this additional weighting as noted below.
- 116 Colleges can claim ELS for students with educational support needs who are attending programmes classed in DPGs 1 to 17. If the criteria for claiming ELS are met as detailed below, colleges can claim an additional weighting of 1.5 to the activity that the colleges is already providing to the student. This weighting is intended to reflect the extra costs of supporting students with educational support needs.
- 117 DPG18 programmes were previously called 'special programmes'. They are programmes specifically designed to meet the needs of students with educational support needs. The programmes are placed in the eighteenth of the 18 programme groups, which cover the different kinds of courses and programmes that colleges offer. All of these programme groups are weighted. DPG18 programmes have a weighting of 1.8 (the highest weighting of all programmes).

### Defining educational support needs, ELS and DPG18 programmes

#### ***'Educational support needs'***

- 118 ELS and DPG18 programmes are defined by reference to the *Further and Higher Education (Scotland) Act 2005* (the Act) that defines support needs.
- 119 The first step for colleges when determining if they can claim ELS or a DPG programme for a given student is to determine if the student has support needs as noted below.

120 The Act in section 8 defines support needs as:

- (1) ...'a person has "support needs" if the person needs support for the purposes of overcoming a difficulty in learning, or a difficulty in participating in learning, which the person has;
- (2) and
  - A person has a difficulty in learning if the person has significantly greater difficulty in learning than the majority of other persons within the same age group as the person; and
  - A person has a difficulty in participating in learning if the person has greater difficulty in participating in learning than the majority of other persons within the same age group as the person;
- (3) but a person is not to be taken as having a difficulty in learning, or a difficulty in participating in learning, solely because the language (or form of the language) in which the person is, or will be, taught is different to a language (or form of a language) which has at any time been spoken in the person's home.

121 Sub-section 3 above does not stop colleges claiming ELS or a DPG18 programme for students who are deaf or hard of hearing. It also does not prevent colleges from claiming ELS or DPG18 for students on ESOL courses as long as those claims are related to a need other than language difficulties.

### ***DPG18 programmes***

122 DPG18 programmes are those programmes which are specifically designed to meet the educational needs of discrete groups of students with educational support needs, providing the student meets the definition of persons with 'support needs' in the Act and the college has carried out an assessment of the individual student's educational needs and strengths. In cases where another agency has made an assessment of the student's educational needs, the college must be satisfied that this assessment is sufficient for them to make a judgement of student's suitability for the course. Colleges should gain permission from the student or their representative before requesting previous assessment information. This should form part of the initial discussions. Colleges should also seek permission from the student or their representative before providing assessment information to other agencies.

123 Each student must be involved as a central figure in all decision-making relating to personal learning and support planning as well as reviews.

- 124 DPG18 programmes must be designed to achieve the educational aims and progression agreed between the college and the student or their representative.
- 125 These programmes are only used when the educational needs of the student are best met in a discrete programme and where other provision, even with additional support through ELS, is agreed, particularly by the student, to be inappropriate.
- 126 Such programmes are usually, but not always, arranged in partnership with other agencies and in some cases may be jointly funded in line with the statutory responsibilities of the partners.
- 127 The programme should be detailed in a PLSP drawn up by the college in agreement with the student as outlined below.

### ***Extended Learning Support***

- 128 ELS is contrasted with learning support which is available to all students in terms of guidance and counselling and student-centred learning through drop-in or other arrangements.
- 129 Learning support typically deals with numeracy, literacy and study skills difficulties or specific gaps in learning. It may involve additional teaching in a particular area or the provision of support in class. In many cases, this support should most appropriately be provided by subject specific lecturers under the guidance of and with support from specialist staff. Where difficulties are related to the vocational content of the course or core skills and may be of a temporary nature, then this too is likely to be addressed by the subject specific lecturer. Learning support does not attract additional weighting.
- 130 ELS involves specialised support for individual students with particular educational support needs who are studying in programme groups 1 to 17. The educational support needs are likely to be pervasive and continuous in all areas of the student's learning. Colleges can claim an additional weighting of 1.5 to the activity that they are already providing to the student for extended learning support.
- 131 For funding purposes, colleges can claim ELS for a student if:
- That student meets the definition of persons with 'support needs' in the Act
  - The student's educational needs and strengths have been assessed by the college as outlined in paragraph 136 below
  - The college is providing additional support measures to the student that require additional resources such as additional staff or expenditure and/or

using a significant level of the current resources employed or financed by the college

- 132 Each student must be involved as a central figure in all decision-making relating to their personal learning and support planning as well as reviews.
- 133 The support measures should be detailed in a PLSP drawn up by the college in agreement with the student as detailed below.

***Funding criteria for claiming ELS and DPG18 programmes***

- 134 Colleges can claim ELS or a DPG18 programme in the application of formula funding if the student's PLSP shows that their individual learning and educational support needs will best be met either by attending a DPG18 programme or a DPG1 to 17 programme with ELS which leads to the college providing additional support measures to the student that requires access to specialist attention/support/ intervention such as additional staff or expenditure and/or assessing and meeting the student needs uses current resources over and above that of the majority of other students within the same age group.
- 135 Sometimes a student's educational support needs are not identified before they arrive at college or the educational need occurs after they start college. In these circumstances, the educational needs-led assessment process might therefore take place after the student is studying in the college. The criteria for the PLSP are detailed below.
- 136 The PLSP provides evidence of the educational need for ELS or a DPG18 programme. It must be available for inspection and audit. An adequate plan must show evidence:
  - That each student was involved as a central figure in all decision-making relating to personal education and support planning (and, if the student wants or requires, they have had the opportunity to be supported in this process by parents, a friend or a professional or voluntary worker when appropriate). The date the meeting took place to discuss the student's educational support needs at college and who was present must be clearly recorded
  - Of each individual student's hopes and aspirations for their educational experience and how the college is aiming to meet these. For students attending DPG18 programmes, it must be shown that alternatives were properly considered with the student, what these were and why a DPG18 programme was considered to best meet the educational needs of the student including the student's views on this decision

- That decisions made on choice of course and support measures required are based on the individual educational needs and strengths of each student
- That each student has 'support needs' as defined by the Act (see paragraph 118 above), the nature of these educational needs, how they will impact on learning and where relevant include details of support provided by other agencies that are/have been involved with the student
- That sufficient information has been gathered and/or generated and recorded to determine clear educational aims and goals and that these are reviewed on an ongoing basis
- Of progress in achieving these educational aims and goals
- That appropriate support measures to support each student's individual educational needs are put in place, what these measures are and, when claiming ELS for the activity of a student, the colleges must justify that the service provided to the student is additional to the service the college usually provides to students, that these additional services require material additional expenditure and/or resources by the college and that the services are directly related to the student's educational support needs
- That a range of professional expertise has been brought to bear on the gathering and generation of information, the evaluation of the information and formulation of goals and support measures. This should include professional involvement from agencies other than the college where appropriate
- That a clear record is kept of both this process and the outcomes of the process in the PLSP including clear allocation of responsibility and financial responsibility for the measures identified
- That the plan is reviewed and revised when appropriate at frequent intervals and at any time at the request of the student or representative of the student and the dates and outcomes of these reviews must be recorded
- That confidentiality is respected in this process

137 The plan should be agreed between the college and the student, signed by a representative of the college and the student or their representative. The student should either be given access to the PLSPs electronically or within the college premises or, where appropriate, a copy in the appropriate format should be given to the student.

138 SFC reserves the right to see copies of a sample of PLSPs, even where they are being retained by the partner agency. Due to the sensitivities involved in allowing SFC staff access to such confidential information, student names and contact details may be deleted for this purpose.

## Further information

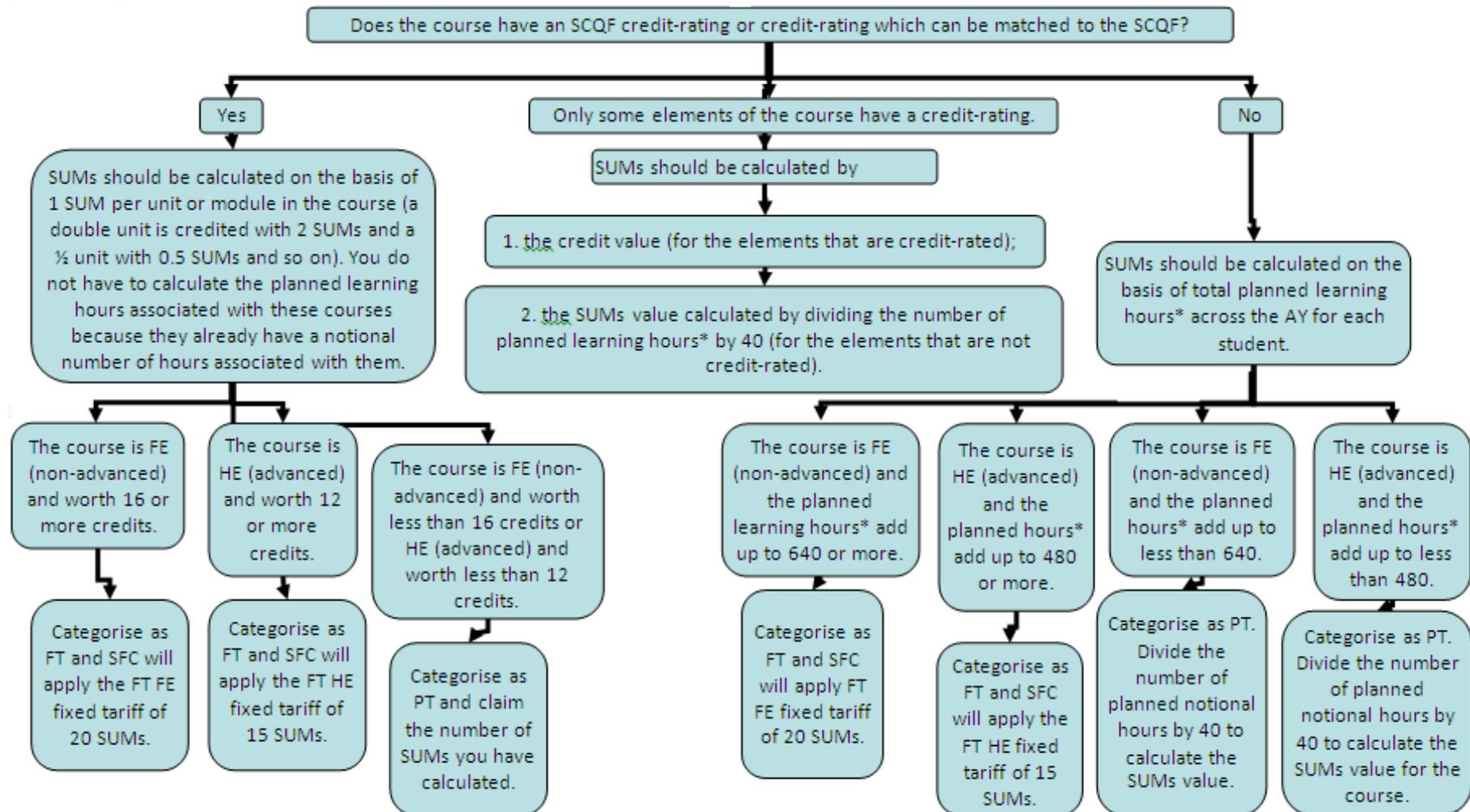
139 Please contact Joelle Russell, Funding Policy Officer, Funding Policy for further information, tel: 0131 313 6614, email: [jrussell@sfc.ac.uk](mailto:jrussell@sfc.ac.uk).



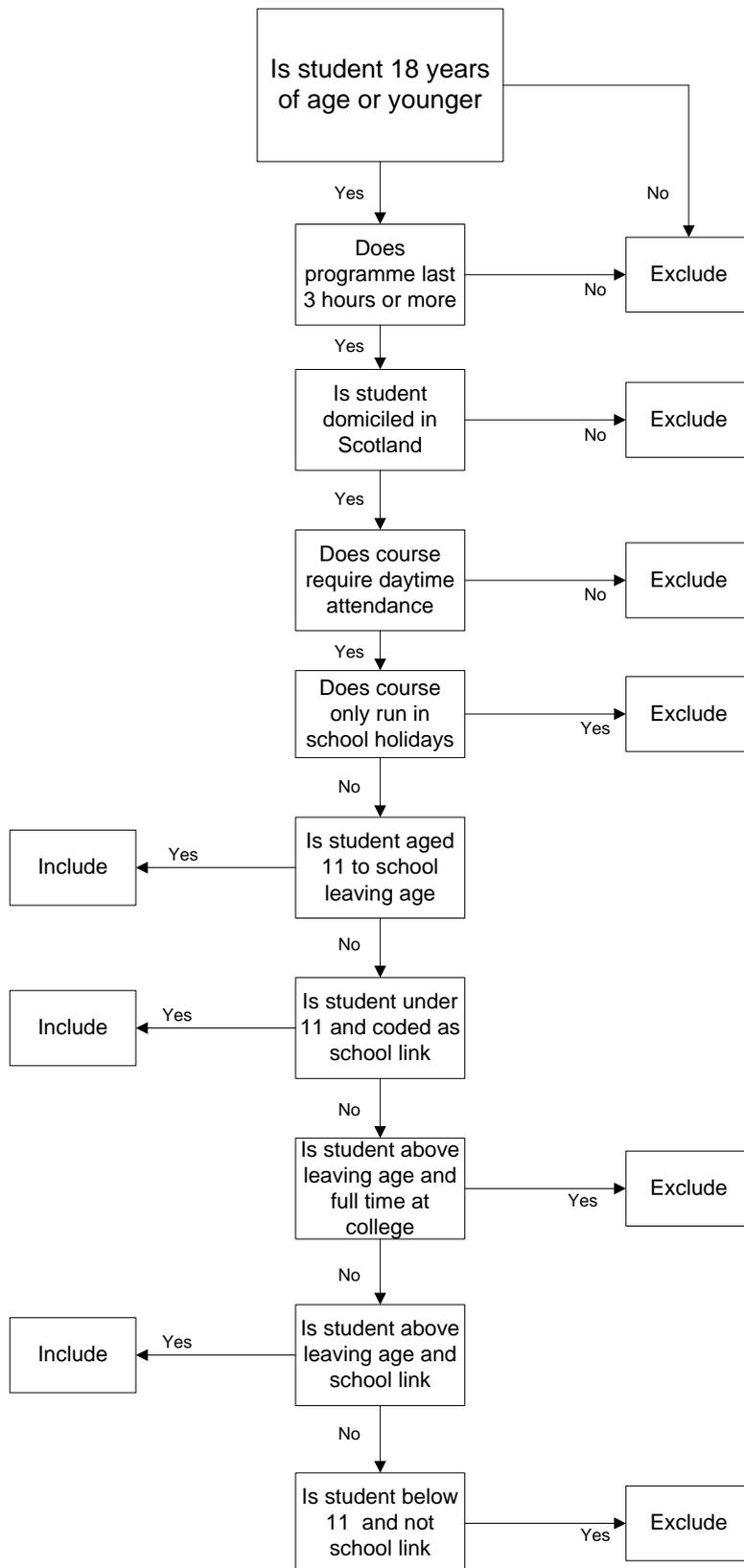
**Martin Smith**  
Deputy Director

## Annex A – Flowchart, calculating the SUMs value for courses

\* see paragraph 80



## Annex B – Filtering process for school/college partnership activity



## Annex C – Dominant programme group revised funding weightings

<b>Programme Group</b>	<b>Dominant programme Name</b>	<b>Original Weighting</b>	<b>Revised Weighting</b>
1	Agriculture & Horticulture	1.523193169	1.53
2	Business & Management	0.838445118	0.85
3	Food Technology & Catering	1.175697785	1.18
4	Computing	0.956066003	0.96
5	Construction	1.261562494	1.27
6	Art & Design	1.047215991	1.05
7	Engineering	1.261562494	1.27
8	Health	0.956066003	0.96
9	Minerals & Materials	1.175697785	1.18
10	Personal Development	0.87221417	0.85
11	Printing	1.261562494	1.27
12	Science & Maths	0.956066003	0.96
13	Office & Secretarial	0.956066003	0.96
14	Social Studies	0.743417106	0.75
15	Social Work	0.956066003	0.96
16	Sport & Recreation	1.047215991	1.05
17	Transport	1.261562494	1.27
18	Special Programmes	1.8	1.8