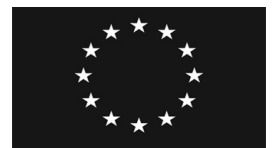




Skills Funding
Agency

Funding Claims 2014 to 2015

November 2014



European Union
European Social Fund
Investing in jobs and skills

Contents

- Introduction 3
- Adult Skills Budget Funding Claims 4
- Discretionary Learner Support and 24+ Advanced Learning Loans Bursary Funding Claims7
- Community Learning Funding Claims 11
- Annex A: Deadlines for Funding Claims..... 12
- Annex B: Funding Claim Forms 13

Introduction

This document sets out the process for making funding claims for the 2014 to 2015 funding year and applies to colleges and training organisations:

- funded through a grant for their Adult Skills Budget
- funded through grant with a 24+ Advanced Learning Loans Bursary contract
- with a Discretionary Learner Support contract
- with a Community Learning contract

Please read this document alongside the [Funding Rules 2014 to 2015](#) and the [Operational Performance Management Rules 2014 to 2015](#).

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

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

Adult Skills Budget Funding Claims

1. If you are funded through a Financial Memorandum or Conditions of Funding (Grant) you must make funding claims for delivery from your Adult Skills Budget (ASB).

2. You must make three funding claims:

- a. A mid-year funding claim.
- b. A year-end funding claim.
- c. A final funding claim.

The deadlines for making these claims are set out in Annex A.

3. There is a copy of the relevant claim form in Annex B. We will publish this form in Microsoft Excel (compatible with versions 2003 and 2007) on the [Funding Claims](#) section of our website.

Filling in the form

- 4. Choose the type of funding claim and your organisation's name from the drop-down menus at the top of the form.
- 5. Complete all sections highlighted yellow. The form automatically adds up your ASB delivery on:

- a. 19 to 23 apprenticeships -programme funding.
- b. 19 to 23 apprenticeships - learning support.
- c. 24+ apprenticeship -programme funding.
- d. 24+ apprenticeship - learning support.
- e. 19+ apprenticeship - learner support.
- f. 19 to 23 apprenticeship trailblazers - programme funding.
- g. 19 to 23 apprenticeship trailblazers - learning support.
- h. 19+ apprenticeships trailblazers - learner support.
- i. 24+ apprenticeship trailblazers - programme funding.
- j. 24+ apprenticeship trailblazers - learning support.
- k. workplace learning - programme funding.
- l. workplace learning - learning support.

- m. classroom learning - programme funding. you must use for the claim.
- n. classroom learning - learning support.
- o. 19 to 24 traineeships - programme funding.
- p. 19 to 24 traineeships - learning support.
- q. 19 to 24 Traineeships - learner support.
6. In each of these sections you must provide:
- a. Your actual delivery to date.
 - b. For your mid-year and year-end funding claims, a forecast of any delivery during the remainder of the funding year.
 - c. Any exceptional adjustments.
7. We will provide you with an SFA Funding Claim Report to the Document Submission tab within the Hub each time you submit validated Individualised Learner Records (ILRs).
8. You must use your SFA Funding Claim Report to work out your actual delivery. This report will include any funding you have earned through validated ILRs you have provided and any funding you have claimed through the Earning Adjustment Statement (EAS).
9. We cannot accept your claim if the figures do not match the delivery shown in the ILR and the EAS. If your figures do not match then we will return your claim to you and you will need to re-submit it.
10. The claim form contains instructions showing which lines from the SFA Funding Claim Report and the EAS
11. You do not need to provide any supporting evidence with your funding claim form.
 12. In your mid-year and year-end funding claims you must provide realistic forecasts based on actual and or expected demand.
 13. If your auditor tells you that you must make an adjustment to your funding claim as a result of an audit, you must make the agreed adjustment using the EAS. You must only make the adjustment in the claim form where you have been unable to make the agreed adjustment using the EAS.
 14. In exceptional circumstances you may need to make an adjustment (an exceptional adjustment) to your funding claim. You must have written approval from us before you enter any exceptional adjustments in your claim form.
 15. In every funding claim you make you must provide your name, position, and the date, in the boxes at the bottom of the form.
 16. You must submit the form using the submit documents section in the Contracts & Finance tab in the Hub by the deadline dates published in Annex A.
 17. When you submit your final funding claim you must also sign the form. An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post-holder who has the delegated authority from the principal to sign the final funding

claim. You need to send us a copy of the signed final funding claim form by post within one week of the deadline date published in Annex A.

18. Your reconciliation statement will be delayed if you do not send us your funding claim by the deadline set out in Annex A. This may impact on your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the 2014 to 2015 funding year.

Funding assurance audit

19. We will appoint audit firms to check that funding claims are accurate.
20. If the appointed auditors choose to audit your claim, we will tell you in the summer of 2015. You must provide a copy of the resulting audit report with your final funding claim.
21. You must make sure that you share all of your funding claims and ILRs with the appointed auditors well in advance so that you can send us the audit report with your final funding claim.

Reconciliation statements

22. After you send us your year-end funding claim we will send you an 'indicative reconciliation statement'. This will give you an indication of the funding you must pay back to us.
23. We will send you a final reconciliation statement after you make your final funding claim. This will

confirm the amount of funding you must pay back to us.

24. If you have to pay amounts back to us, we will schedule those repayments from January 2016.

Exceptional Learning Support

25. You must record any learning support costs over the national rate and up to £19,000 through the EAS. You must use your Provider Funding Report to work out your actual delivery.
26. You must claim for any learning support costs over £19,000 through the Exceptional Learning Support claim process set out on the [Learners with Learning Difficulties and or Disabilities](#) page of our website.

Discretionary Learner Support and 24+ Advanced Learning Loans Bursary Funding Claims

27. For Discretionary Learner Support and 24+ Advanced Learning Loans Bursary funding there is a combined claim form for providers to complete as appropriate.

Providers funded through a grant

28. If you are funded through a grant and have either a Discretionary Learner Support funding allocation or a 24+ Advanced Learning Loans Bursary funding allocation you must make two funding claims:

- a. A mid-year funding claim.
- b. A final funding claim.

The deadlines for making these claims are set out in Annex A.

29. There is a copy of the relevant claim form in Annex B. We will publish this form in Microsoft Excel (compatible with versions 2003 and 2007) on the [Funding Claims](#) section of our website.

Filling in the form

30. You must choose the type of funding claim and your organisation's name from the drop-down

menus at the top of the form.

31. You must complete all sections highlighted yellow. The form automatically adds up spending from your Discretionary Learner Support funding allocation, and your 24+ Advanced Learning Loans Bursary funding allocation, on the following.

Discretionary Learner Support:

- a. 19+ Hardship.
- b. 20+ Childcare.
- c. Residential Access Fund.
- d. Administration costs.

Loans Bursary:

- e. Bursary funding.
- f. Hardship.
- g. Childcare.
- h. Residential Access Fund.
- i. Area costs.
- j. Exceptional claims.

- k. Administration costs.
32. In each of these sections you must provide:
- a. Your actual delivery to date.
 - b. For your mid-year funding claim, a forecast of any delivery during the remainder of the funding year.
33. You must use your SFA Funding Claim Report to work out your actual delivery in Loans Bursary funding, area costs and exceptional claims. This report will include any funding you have earned through validated ILRs you have provided and any funding you have claimed through the EAS. We cannot accept your claim if the Loans Bursary funding, area costs and exceptional claim figures do not match the delivery shown in the ILR and the EAS.
34. The claim form contains instructions showing which lines from the SFA Funding Claim Report and the EAS you must use for the claim.
35. The forecast you provide in your mid-year funding claim must be realistic and based on actual and expected demand.
36. You can use up to 5% of your Discretionary Learner Support funding allocation on administration costs. You must declare this in your funding claims (box D in the funding claim form).
37. You can claim up to 5% of your Loans Bursary expenditure against Hardship, Childcare and Residential Access Fund on administration costs.
- However, your administration costs must not be more than 5% of the value of the Loans Bursary funding.
38. In every funding claim you make you must provide your name and position, and the date, in the boxes at the bottom of the form.
39. You must submit the form using the submit documents section in the Contracts & Finance tab in the Hub by the deadline dates published in Annex A.
40. When you submit your final funding claim you must also sign the form. An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post-holder who has the delegated authority from the principal to sign the final funding claim. You need to send us a copy of the signed final funding claim form by post within one week of the deadline date published in Annex A.
41. Your reconciliation statement will be delayed if you do not send us your funding claim by the deadline set out in Annex A. This may impact your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the 2014 to 2015 funding year.
- ## Reconciliation statements
42. After you send us your final funding claim we will send you a reconciliation

statement. This will confirm the amount of funding you must pay back to us.

43. If you have to pay amounts back to us, we will schedule those repayments from January 2016.

Providers funded through a contract

44. If you are funded through a contract and have a Discretionary Learner Support funding allocation, you must make two funding claims:

- a. A mid-year funding claim.
- b. A final funding claim.

The deadlines for making these claims are set out in Annex A.

45. There is a copy of the relevant claim form in Annex B. We will publish this form in Microsoft Excel (compatible with versions 2003 and 2007) on the [Funding Claims](#) section of our website.

Filling in the form

46. You must choose the type of funding claim and your organisation's name from the drop-down menus at the top of the form.

47. You must complete all sections highlighted yellow. The form automatically adds up spending from your Discretionary Learner Support funding allocation on:

- a. 19+ Hardship.
- b. 20+ Childcare.

c. Residential Access Fund.

d. Administration costs.

48. You must not complete any of the sections for 24+ Advanced Learning Loans Bursary.

49. In each section you complete, you must provide:

- a. Your actual delivery to date.
- b. For your mid-year funding claim, a forecast of any delivery during the remainder of the funding year.

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

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

52. In every funding claim you make you must provide your name and position, and the date, in the boxes at the bottom of the form.

53. You must submit the form using the submit documents section in the Contracts & Finance tab in the Hub by the deadline dates published in Annex A.

54. When you submit your final funding claim you must also sign the form. An authorised person must sign the claim form on behalf of your organisation. You need to send us a copy of the signed final funding claim form by post within one week of the

deadline date published in Annex A.

55. Your reconciliation statement will be delayed if you do not send us your funding claim forms by the deadlines set out in Annex A. This may impact on your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the 2014 to 2015 funding year.

Reconciliation statements

56. After you send us your final funding claim we will send you a reconciliation statement. This will confirm the amount of funding you must pay back to us.
57. If you have to pay amounts back to us, we will schedule those repayments from January 2016.

Community Learning Funding Claims

58. If you have a Community Learning funding allocation, you must make a final funding claim by the deadline set out in Annex A.

For colleges, this can be the principal or another senior post-holder who has delegated authority from the principal to sign the final funding claim. You need to send us a copy of the signed claim form by post within one week of the deadline date published in Annex A.
59. There is a copy of the relevant claim form in Annex B. We will publish this form in Microsoft Excel (compatible with versions 2003 and 2007) on the [Funding Claims](#) section of our website.
60. You must choose your organisation's name from the drop-down menu at the top of the form.
61. You must complete all sections highlighted yellow.
62. You must provide your name and position, and the date, in the boxes at the bottom of the form.
63. You must submit the form using the submit documents section in the Contracts & Finance tab in the Hub by the deadline dates published in Annex A.
64. When you submit your final funding claim you must also sign the form. An authorised person must sign the claim form on behalf of your organisation.
65. Your reconciliation statement will be delayed if you do not send us your funding claim by the deadline set out in Annex A. This may impact on your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the 2014 to 2015 funding year.
66. We will issue a reconciliation statement after you submit your final funding claim. This will confirm the amount of funding you must pay back to us.
67. If you have to pay amounts back to us, we will schedule those repayments from January 2016.

Annex A: Deadlines for Funding Claims

Funding	Funding Claim	Deadline to provide Individualised Learner Records	Deadline to submit funding claim forms
Adult Skills Budget	Mid-year funding claim	5 February 2015	9 February 2015
	Year-end funding claim	14 September 2015	16 September 2015
	Final funding claim (with audit report where necessary)	23 October 2015	27 October 2015
Discretionary Learner Support and 24+ Advanced Learning Loans Bursary	Mid-year funding claim	5 February 2015	9 February 2015
	Final funding claim	23 October 2015	27 October 2015
Community Learning	Final funding claim	23 October 2015	27 October 2015

Annex B: Funding Claim Forms



Skills Funding
Agency

Adult Skills Budget funding claim

Provider name	
UKPRN	

Read the Funding Rules 2014 to 2015, Operational Performance Management Rules 2014 to 2015 and Funding Claims 2014 to 2015 before filling in this form.

		Delivery to date	Forecasted delivery for remainder of the funding year	Exceptional adjustments not included in Individualised Learner Records or Earnings Adjustment Statement	Total delivery for the 2014 to 2015 funding year
A	19-23 Apprenticeship – programme funding				£0
B	19-23 Apprenticeship – Learning Support				£0
C	24+ Apprenticeship – programme funding				£0
D	24+ Apprenticeship – Learning Support				£0
E	19+ Apprenticeship – Learner Support				£0
F	19-23 Apprenticeship Trailblazers - programme funding				£0
G	19-23 Apprenticeship Trailblazers - Learning Support				£0
H	19-23 Apprenticeship Trailblazers - Learner Support				£0
I	24+ Apprenticeship Trailblazers - Programme Funding				£0
J	24+ Apprenticeship Trailblazers - Learning Support				£0
K	Workplace Learning – programme funding				£0
L	Workplace Learning – Learning Support				£0
M	Classroom Learning – programme funding				£0
N	Classroom Learning – Learning Support				£0
O	19-24 Traineeships - programme funding				£0
P	19-24 Traineeships - Learning Support				£0
Q	19-24 Traineeships - Learner Support				£0
R	Total Adult Skills Budget delivery	£0	£0	£0	£0

Declaration

As far as I know and believe this funding claim is complete and accurate, and also keeps to the Funding Rules 2014 to 2015 and the Operational Performance Management Rules 2014 to 2015.

Name of person signing	
Position in organisation	
Signature	
Date	

Please save a copy of completed claim form and submit the form using the submit documents section on the Contracts & Finance tab in the Hub



Skills Funding
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Discretionary Learner Support and 24+ Advanced Learning Loans Bursary funding claim

Provider name	
UKPRN	

Read the Funding Rules 2014 to 2015, Operational Performance Management Rules 2014 to 2015 and Funding Claims 2014 to 2015 before filling in this form.

		Actual spending to date	Forecasted spending for the rest of the funding	Total spending for the 2014 to 2015
A	Discretionary Learner Support – 19+ Hardship			£0
B	Discretionary Learner Support – 20+ Childcare			£0
C	Discretionary Learner Support – Residential Access Fund			£0
D	Discretionary Learner Support – Administration costs			£0
E	Loans – Bursary Funding			£0
F	Loans – Hardship			£0
G	Loans – Childcare			£0
H	Loans – Residential Access Fund			£0
I	Loans – Area costs			£0
J	Loans – Exceptional claims			£0
K	Loans – Administration costs			£0
L	Total Discretionary Learner Support and Loans Bursary expenditure	£0	£0	£0

Declaration

As far as I know and believe this funding claim is complete and accurate, and keeps to the Funding Rules 2014 to 2015 and Operational Performance Management Rules 2014 to 2015.

Name of person signing	
Position in organisation	
Signature	
Date	

Please save a copy of completed claim form and submit the form using the submit documents section on the Contracts & Finance tab in the Hub



Skills Funding Agency

Final funding claim

Community Learning funding claim

Provider name	
UKPRN	

Read the Funding Rules 2014 to 2015, Operational Performance Management Rules 2014 to 2015 and Funding Claims 2014 to 2015 before filling in this form.

Total spending during the 2014 to 2015 funding year.

A	Community Learning – programme funding	
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Declaration

As far as I know and believe this funding claim is complete and accurate, and keeps to the Funding Rules 2014 to 2015 and the Operational Performance Management Rules 2014 to 2015.

Name of person signing	
Position in organisation	
Signature	
Date	

Please save a copy of completed claim form and submit the form using the submit documents section on the Contracts & Finance tab in the Hub



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