



Skills Funding  
Agency

# National Careers Service Area-based contracts funding rules

## Version 3

This document sets out the rules for funding and associated evidence needed for the National Careers Service area-based contracts which will apply from 1 April 2016.

April 2016

Of interest to area-based prime contractors (prime contractors).

Version	Issued	Details of changes
1.0	October 2014	
1.1	February 2015	
2.0	September 2015	
3.0	April 2016	<p><b>Throughout document</b></p> <ul style="list-style-type: none"> <li>• All reference to the European Social Fund (including logos) have been removed.</li> <li>• Various small amendments made to comply with GOV.UK and SFA plain English guidance.</li> </ul> <p><b>Introduction</b></p> <p>Bulleated list – removal of ‘Implementation plan’ and the following additions:</p> <ul style="list-style-type: none"> <li>• Inspiration plan(s)</li> <li>• Customer Data service Code of Connection (CoCo)</li> </ul> <p><b>6. Deletion of paragraphs beneath unit cost table</b></p> <p><b>A Career Management Outcome can be claimed on the basis of one piece of evidence – effective as of 1 October 2014 for a limited period until the principle of two pieces of evidence can be re-established.</b></p> <p><b>Career Management Outcomes that comply with the version of the funding rules dated October 2014, that is, they are supported by two pieces of evidence, and are claimed prior to 1 March 2015, will be funded at the rate of £70 for priority customers and £17.50 for non-priority customers.</b></p> <p><b>Career Management Outcomes claimed after 28 February 2015 will be on the basis of one piece of evidence and therefore funded at the rate of £40 for priority customers and £10 for non-priority customers.</b></p> <p>6. New paragraph beneath unit cost table:</p> <p>You can claim a career management outcome on the basis of one piece of evidence.</p> <p>7. You must keep all existing ESF evidence, including evidence collected by subcontractors for the ESF programme 2008 to 2013, until 31 December 2022.</p> <p>9. Once the customer has passed their one-year anniversary and re-engaged with the service, their</p>

		<p>'new' year will start on the date they re-engage with the service. The customer will be counted as a new customer again and will be eligible for the three outcomes. Therefore, you must create a new action plan with a new session ID for each client.</p> <p><b>Deleted</b></p> <p><b>Continuing Customers</b></p> <p><b>22. With the exception of any activity during September 2014, all individuals accessing the service from 1st October 2014 will be considered as a new customer and therefore eligible for up to three funded outcome payments in a rolling year.</b></p> <p><b>23. Where a customer has visited the service during September 2014 and had a first session (to equate to a customer satisfaction outcome post 1 October 2014) then this customer will be eligible for a career management and jobs or learning outcome from 1 October 2014 as appropriate. This will also apply where a customer has had a second or third session during September 2014.</b></p> <p><b>24. Customers records created during September (with no other activity) will be eligible for all three outcome payments.</b></p> <p><b>25. Your business model should not be reliant on previous customers or repeat customers. The aim is to move customers to be more self-serving.</b></p> <p>11.2. that the customer is eligible for funding and the rate for funding (see paragraph 6 of this document for funding rates)</p> <p>11.4. that demonstrates the validity of each outcome claimed</p> <p>13. A customer record is defined as the mandatory data you must keep in order to evidence funding eligibility and audit requirements. In addition, you must record the customer satisfaction, career management and jobs or learning outcomes for each customer, as appropriate, on the customer record.</p> <p>19. You can hold evidence in an electronic format. This includes holding information on electronic</p>
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		<p>platforms and in scanned format, which includes, but is not restricted to, digital signatures. When you collect a customer's signature, we accept that it may be handwritten, in electronic format or both. Voice recordings are acceptable as evidence for all outcomes provided that the customer's identity is verified beyond all reasonable doubt during the call.</p> <p>21. It is your responsibility to ensure you keep an effective and reliable form of evidence to support funding claims, including evidence that individuals exist (that is, that the individual's identity is verified beyond all reasonable doubt), are eligible and that appropriate evidence is provided. You are responsible for making the evidence you hold easily available to us when we need it.</p> <p>22.3. they are eligible for the service</p> <p>25. When claiming an outcome, you must indicate on the customer record whether a customer is in a priority or non-priority group at the time when they received advice.</p> <p>28. Where a customer moves into a priority group during their 12-month rolling period and the customer self-declares this change, you may claim the higher funding rate from that point on, for any outcomes you claim. You cannot apply higher rates retrospectively for outcomes claimed before the change.</p> <p><b>Deleted from 'Customer Satisfaction' text box</b></p> <p><b>It is envisaged that this outcome will be the first to be claimed in the majority of cases.</b></p> <p>30.2. produce a skills action plan as detailed in paragraph 24 of this document and ensure that this is either sent to the customer or made available to them through their Lifelong Learning Account</p> <p>33. You can only claim one customer satisfaction outcome for each customer in a 12-month rolling year based on the first date that the action plan was discussed and agreed with the customer, whether this was by telephone or face-to-face. You need a unique action plan ID for the first action plan you create and you also need the 'initial session date' to claim funding through the National Careers Service data collections service.</p>
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		<p>34. You must produce a skills action plan signed or confirmed by the customer and the adviser (please see paragraph 22 of this document). To claim customer satisfaction funding, the customer must be 'satisfied' or 'very satisfied' with the service they received.</p> <p>Where the customer has set the customer satisfaction indicator on their LLA to 'yes', there is no need for you to provide further evidence.</p> <p>For other cases, there must be verification from the customer of as many of the criteria measures below:</p> <p>37. The skills action plan must be signed or acknowledged in writing by the customer or be confirmed as having been received on a voice recording.</p> <p>38.3. they are satisfied</p> <p>42. You can only claim one career management outcome for each customer in a 12-month rolling year based on the customer's first date that the action plan was discussed and agreed with the customer, whether this was by telephone or face-to-face. A unique action plan ID is needed for the first action plan created. The unique action plan ID and 'initial session date' are both needed to claim funding through the National Careers Service Data Collections Service.</p> <p>43. For voluntary work being undertaken, written evidence will be required. Please see evidence requirements for jobs or learning outcomes (paragraphs 58 to 59 in this document).</p> <p>45. For all other criteria, the outputs appropriate to each activity must be collected and held on file. This includes a signed self-declaration form (or voice recording) from the customer confirming that they have carried out the relevant CMO activity. Where it is available, supplementary evidence, for example, a CV, proof of attendance, proof of assessment or screen shot confirming the interaction with the adviser must also be provided.</p> <p><b>Deleted from 'Jobs or Learning' text box</b></p> <p><b><i>These rules are effective from 1 October 2015, only JLOs 'achieved' (i.e. the start date of the job or learning outcome) after 1 October 2015 are claimable under the new rules, any that are already in the</i></b></p>
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		<p><b><i>system that you are currently tracking are only claimable under the rules that were in place up to the 30 September 2015.</i></b></p> <p>49. We envisage that a customer satisfaction outcome will be the first to be claimed in the majority of cases. If a customer achieves a job or learning outcome before a career management outcome, the Skills Funding Agency will fund the job or learning outcome when the career management outcome is achieved.</p> <p>50. You can only claim one job outcome or one learning outcome for each customer in a 12-month rolling year based on the first date that the action plan was discussed and agreed with the customer, whether this was by telephone or face to face. A 'unique action plan ID' is needed for the first action plan created and the 'initial session date' are both needed to claim funding by the National Careers Service Data Collections Service.</p> <p>54. A learning outcome can be claimed at the start of the attendance of the accredited learning (which could include traineeships, providing the course(s) started as part of the traineeship meet(s) the criteria in subparagraphs 53.1 and 53.2 above).</p> <p>56. A job outcome cannot be claimed until four weeks after the start of the employment, or until 13 weeks after commencement of the employment if the job started before 1 October 2015.</p> <p>59.1. A signed self-declaration form from the customer or voice recording confirming that they are in learning and meet the minimum requirements as stated above which must include the learning provider name and address.</p> <p>60.5. A signed self-declaration or voice recording from the customer confirming that they are in work and meet the minimum requirements as stated which must include the employer name and address.</p> <p>63. Offenders who are recalled to prison will have the same entitlement to three outcomes within a rolling year - the rolling year begins again on the offender's return to custody. By recalled we mean an individual who is recalled on licence or returns to prison on a different sentence.</p>
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		<p><b>Deleted</b></p> <p><b>83. National Careers Service contractors will not receive specific funding for engagement activities with or on behalf of providers or with customers.</b></p> <p>‘Career management’ text box</p> <ul style="list-style-type: none"> <li>• inter-agency liaison, including with the community rehabilitation companies (CRCs) and/or prime contractor custody-to-community liaison and the Offenders’ Learning and Skills Service (OLASS) provider; this should be facilitated by the National Careers Service and shown as part of the customer journey</li> </ul> <p>71. For National Careers Service delivery in prisons, supporting an offender into a further learning/employment programme operating within the prison (for example OLASS, prison industries) is not an eligible progression. Starting on an Open University or distance learning course can be used as evidence for a jobs or learning outcome claim.</p> <p>‘Section 5 – Inspiration activity’ text box</p> <p>A ring-fenced budget will be available in recognition of planned Inspiration activities linked to the brokerage activity between employers and schools and colleges that leads to inspiring and motivating opportunities for young people and adults. It will also include activities associated with developing a local resource area on the digital platform.</p> <p>85. If the legal entity is a sole trader or partnership not required to register with Companies House or the Charity Commission, they must be registered as such with HM Revenue and Customs (HMRC).</p>
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## Introduction

This document sets out the funding rules for the area-based contracts for the National Careers Service which will apply from 1 October 2014. The rules form part of the terms and conditions of the contracts between the Secretary of State for Business, Innovation and Skills acting through the Skills Funding Agency (SFA) and all area-based prime contractors (prime contractors) of the area-based National Careers Service who receive funding from the SFA.

The funding rules set out the requirements which you, as a prime contractor (and any other organisation in receipt of this funding) are contractually obliged to meet. The full set of requirements is outlined in the following suite of contractual documents:

- Terms and Conditions
- Schedules
- Funding rules
- Business rules
- Invitation to tender (ITT)
- Prime contractor response to tender.
- Inspiration plan(s)
- Customer Data service Code of Connection (CoCo)

We reserve the right to update the funding rules from time to time. We aim to publish changes to the rules once a year, only publishing changes during the year where it is absolutely necessary.

## Section 1 - General funding rules

### Principles of funding

The rules in this document provide mandatory requirements to make sure public funding is protected in a proportionate way. You must operate within the terms and conditions of the contract and the funding rules. If you break these funding rules you are in breach of the contract with the SFA. We will take action as set out in the contract.

This section sets out the principles behind the funding rules that apply to all National Careers Service provision funded by the SFA, including delivery to customers in custody.

We will review whether your delivery of the National Careers Service represents good value for money. If we consider that the funding we have provided is significantly more than the cost of delivery of the services we may, after consulting you, reduce the amount of funding we pay you.

You should read these rules together with the business rules.

1. The funding system for the National Careers Service is aimed at ensuring you (and your subcontractors) support customers to achieve positive outcomes and deliver a high-quality service using the most appropriate mix of delivery methods and channels to meet customers' needs. You can find more details on the funding method and how it will be applied in schedule 2 of your contract.
2. You must only claim funding for customers assessed as eligible for funding as shown in these rules.
3. To be eligible for funding at the point of interaction with the service, a customer must be:
  - 3.1. aged 19 or older **or**
  - 3.2. aged 18 or older if they are a Jobcentre Plus customer or they are in custody **and**
  - 3.3. living or working in England
4. You must check the eligibility of the customer at the start of each interaction.

5. You must make sure that all customers have a customer record (see paragraph 13 to 18 in this document).
6. We set out the unit cost for each of the outcomes below. Please see section 2 of this document for further information on priority groups.

<b>Outcome</b>	<b>Priority group customer</b>	<b>Non-priority group customer</b>
Customer satisfaction	£45	£10
Career management	£40	£10
Jobs and learning	£65	£20

You can claim a career management outcome on the basis of one piece of evidence.

## **European Social Fund (ESF)**

7. You must keep all existing ESF evidence, including evidence collected by subcontractors for the ESF programme 2008 to 2013, until 31 December 2022.

## **Repeat customers**

8. You can claim one customer satisfaction outcome, one career management outcome and one jobs or learning outcome for each customer in a 12-month rolling year based on the customer's first date of contact with the service (please see section 4 of this document for rules for customers in custody).
9. Once the customer has passed their one-year anniversary and re-engaged with the service, their 'new' year will start on the date they re-engage with the service. The customer will be counted as a new customer again and will be eligible for the three outcomes. Therefore, you must create a new action plan with a new session ID for each client.
10. Customers must achieve a new customer satisfaction outcome and a new career management outcome before you can claim a new job or learning outcome.

## Principles of evidence

The purpose of the evidence is to assure us that you have delivered careers advice services in accordance with the terms of our contract with you and the funding rules. We will examine evidence to make sure we have that assurance.

If you have insufficient evidence, this may put your funding at risk.

### The main principles of providing evidence

11. You must hold evidence:
  - 11.1. that the customer exists
  - 11.2. that the customer is eligible for funding and the rate for funding (see paragraph 6 of this document for funding rates)
  - 11.3. that the careers advice service activity has taken place
  - 11.4. that demonstrates the validity of each outcome claimed
12. The SFA reserves the right to seek confirmation of the recorded outcomes.

### Customer record

13. A customer record is defined as the mandatory data you must keep in order to evidence funding eligibility and audit requirements. In addition, you must record the customer satisfaction, career management and jobs or learning outcomes for each customer, as appropriate, on the customer record.
14. You must keep a customer record to show you have the evidence to support the funding claimed, in accordance with the requirements set out in the terms and conditions.
15. Where possible, evidence will be collected through the customer record. However, where we have identified evidence requirements that are not possible to collect this way, we have outlined at the end of each section.
16. The information in the customer record must be confirmed by both the customer and the adviser before you can claim any outcomes. This will be demonstrated by the completion of a skills action plan (see paragraph 22 of this document), signed or confirmed by the customer.

17. You must update the customer record in a timely manner in accordance with the business rules. You must keep customer records safe, ensuring that contractual requirements are met.
18. Please refer to the business rules for further information on the customer record and the skills action plan.

## **Confirmation and signatures**

19. You can hold evidence in an electronic format. This includes holding information on electronic platforms and in scanned format, which includes, but is not restricted to, digital signatures. When you collect a customer's signature, we accept that it may be handwritten, in electronic format or both. Voice recordings are acceptable as evidence for all outcomes provided that the customer's identity is verified beyond all reasonable doubt during the call.
20. We recognise that you will decide which process you will use to record the customer's and adviser's confirmation of information about the customer's interaction. We recognise that it is unlikely that a standard approach and process will meet the needs of every prime contractor.
21. It is your responsibility to ensure you keep an effective and reliable form of evidence to support funding claims, including evidence that individuals exist (that is, that the individual's identity is verified beyond all reasonable doubt), are eligible and that appropriate evidence is provided. You are responsible for making the evidence you hold easily available to us when we need it.
22. By signing or confirming the skills action plan the customer is agreeing that:
  - 22.1. they exist
  - 22.2. the details you hold about them (including whether they are in a priority group) are correct
  - 22.3. they are eligible for the service
23. Please see the business rules for further details on the principle of the skills action plan.
24. By providing this information, you will be able to determine the customer's eligibility for funding and the appropriate funding rate, depending on whether the customer is in a priority or non-priority group.

## Section 2 – Priority groups

The SFA is keen that additional support is devoted to achieving outcomes for those customers in priority groups. Therefore, our funding policy stipulates that higher prices will be paid for outcomes achieved for customers in priority groups.

25. When claiming an outcome, you must indicate on the customer record whether a customer is in a priority or non-priority group at the time when they received advice.
26. In order to be defined as being in a priority group, a customer must satisfy at least one of the following criteria:
  - 26.1. Low-skilled adults without a Level 3 qualification.
  - 26.2. Young adults aged 18 to 24 not in education, employment or training.
  - 26.3. Adults facing redundancy, newly redundant or distant from the labour market (that is, the customer has not been in any type of work for two years or more).
  - 26.4. Jobcentre Plus customers and are at least 18 years old.
  - 26.5. Adults in custody aged 18 years or over, or an ex offender.
  - 26.6. Adults with learning difficulties and/or disabilities.
27. The evidence to determine which priority group a customer falls into will be on the basis of a self-declaration.
28. Where a customer moves into a priority group during their 12-month rolling period and the customer self-declares this change, you may claim the higher funding rate from that point on, for any outcomes you claim. You cannot apply higher rates retrospectively for outcomes claimed before the change.

## Section 3 - Outcomes

The funding system for the new National Careers Service is aimed at ensuring prime contractors (and subcontractors) support customers to achieve positive outcomes and deliver a high-quality service using the most appropriate mix of delivery methods and channels to meet customers' needs.

The outcome-based funding system will drive improvements to service delivery and will also provide an opportunity for prime contractors to earn funding for customers who maintain an ongoing relationship with the service.

Prime contractors will be able to earn up to three separate payments within a rolling 12-month period (please see paragraph 8 of this document) for each eligible customer for the following outcomes:

- customer satisfaction
- career management
- jobs or learning

You must record all outcomes which are evidenced, on SFA systems as appropriate, regardless of any claims made.

Outcomes cannot be earned for young people aged 18 and under with the exception of 18-year-old Jobcentre Plus customers and 18-year-olds in custody.

### Customer satisfaction

A customer satisfaction outcome is defined as the delivery of high-quality, impartial careers information, advice and guidance that provides the customer with relevant information and clear steps to advance their career planning and development.

29. To claim a customer satisfaction outcome you must ensure that the customer has received a high-quality service that has provided them with relevant advice and identified clear next steps.

30. In instances where all of the sessions have taken place on the telephone, you must:
  - 30.1. record telephone calls in order that a sample can be assessed to ensure they meet the evidence criteria
  - 30.2. produce a skills action plan as detailed in paragraph 22 of this document and ensure that this is either sent to the customer or made available to them through their Lifelong Learning Account
31. You must measure customer satisfaction at the most appropriate time for the customer, which will not necessarily be at the initial interaction.
32. We will ask customers to participate in independent customer satisfaction and progression surveys. These will follow customers up at specified intervals after they have used the service.
33. You can only claim one customer satisfaction outcome for each customer in a 12-month rolling year based on the first date that the action plan was discussed and agreed with the customer, whether this was by telephone or face-to-face. You need a unique action plan ID for the first action plan you create and you also need the 'initial session date' to claim funding through the National Careers Service data collections service.

### **Evidence required**

34. You must produce a skills action plan signed or confirmed by the customer and the adviser (please see paragraph 22 of this document). To claim customer satisfaction funding, the customer must be 'satisfied' or 'very satisfied' with the service they received.

Where the customer has set the customer satisfaction indicator on their LAA to 'yes', there is no need for you to provide further evidence.

For other cases, there must be verification from the customer of as many of the criteria measures below:

- 34.1. The support was relevant to his/her needs and his/her expectations were met in line with the agreed service offer.
- 34.2. The 'next steps' were agreed, understood and reflect how the expressed needs will be addressed.
- 34.3. The customer's needs outlined at the start of the interaction have been recorded.



- 34.4. The customer understood how they can access the service and get further support.
- 34.5. The options available to the customer were understood.
- 34.6. The appointment was on time.
- 34.7. The location was suitable.
- 34.8. The channel of delivery was appropriate to the customer's needs.
- 34.9. The customer is aware of, and has been provided with, information on how they can access further ongoing support.
- 34.10. The services delivered were in line with the customer charter.
35. Both the adviser and customer must retain a copy of the skills action plan. Where signatures or confirmation are not provided at the time of the interaction, then you must send a copy of the skills action plan to the customer. Where possible, you should send the skills action plan in an email form.
36. You should seek to gain confirmation of receipt of the skills action plan from every customer that accesses the service.
37. The skills action plan must be signed or acknowledged in writing by the customer or be confirmed as having been received on a voice recording.
38. The skills action plan should be returned by the customer signed or emailed with an electronic signature or an email stating that
  - 38.1. they have received the skills action plan
  - 38.2. it reflects the discussions with the adviser, and
  - 38.3. they are satisfied

## **Career management**

Career management outcomes are defined as careers information, advice and guidance that helps customers understand the value and importance of careers management as a lifelong activity and encourages them to develop the skills, confidence, resilience and resourcefulness to manage their careers independently.

39. In order to claim a career management outcome, you must demonstrate that the customer is actively managing their career as a result of their interaction with an adviser.
40. This must include one or more of the following:
  - 40.1. Undertaking voluntary work on a regular basis or equivalent relevant work experience.
  - 40.2. Applying for a course which is accredited or has a vocational focus.
  - 40.3. Uploading a CV to Universal Jobmatch or any other relevant job sites (including the Lifelong Learning Account).
  - 40.4. The customer has created/updated/tailored their CV.
  - 40.5. The customer has attended a careers workshop or similar event.
  - 40.6. Use of tools such as Mid-life Career Review, Skills Health Check and other similar career management programmes or tools.
  - 40.7. Regular use of National Careers Service or other relevant websites and resources.
  - 40.8. The use of social media to evidence career management or to build their own social and professional network.
41. You must reference the career management outcome on the skills action plan.
42. You can only claim one career management outcome for each customer in a 12-month rolling year based on the customer's first date that the action plan was discussed and agreed with the customer, whether this was by telephone or face-to-face. A unique action plan ID is needed for the first action plan created. The unique action plan ID and 'initial session date' are both needed to claim funding through the National Careers Service Data Collections Service.

### **Evidence required**

43. For voluntary work being undertaken, written evidence will be required. Please see evidence requirements for jobs or learning outcomes (paragraphs 60 in this document).
44. Where a course has been applied for and enrolled on, written evidence will be needed, such as confirmation from the place of learning or signed learning agreement. Please see evidence requirements for jobs or learning outcomes (paragraphs 58 to 59 of this document).

45. For all other criteria, the outputs appropriate to each activity must be collected and held on file. This includes a signed self-declaration form (or voice recording) from the customer confirming that they have carried out the relevant CMO activity. Where it is available, supplementary evidence, for example, a CV, proof of attendance, proof of assessment or screen shot confirming the interaction with the adviser must also be provided.
46. **The provider declaration outlined in paragraph 61 of this document does not apply for career management outcomes.**
47. The SFA reserves the right to seek confirmation of the recorded outcomes.

## Jobs or learning

The ultimate aim of careers information, advice and guidance is to help customers progress into appropriate learning and work relevant to their needs and circumstances.

Jobs or learning outcomes are defined as progress made in a customer's learning or working life. It may constitute starting a formal learning programme, or completing an accredited course, starting a job or securing a promotion.

48. In order to claim a job or learning outcome, you must demonstrate that the customer has made progress in
  - 48.1. their learning **or**
  - 48.2. their working life
49. We envisage that a customer satisfaction outcome will be the first to be claimed in the majority of cases. If a customer achieves a job or learning outcome before a career management outcome, the Skills Funding Agency will fund the job or learning outcome when the career management outcome is achieved.
50. You can only claim one job outcome or one learning outcome for each customer in a 12-month rolling year based on the first date that the action plan was discussed and agreed with the customer, whether this was by telephone or face to face. A 'unique action plan ID' is needed for the first action plan created and the 'initial session date' are both needed to claim funding by the National Careers Service Data Collections Service.
51. Progression to the [work programme](#) cannot be claimed as a job or learning outcome.

52. You can claim a job or learning outcome payment for customers who are undertaking activity that another provider, funding stream or government department provides (for example, the work programme funded by the Department for Work and Pensions). However, there should not be duplication of funding and there must be evidence that there has been a significant and additional contribution from the National Careers Service contractor.
53. In order to claim a learning outcome, the customer must have engaged in one learning or training course that:
  - 53.1. is appropriate to the activity agreed in the careers and skills action plan
  - 53.2. is accredited by an education institution that is officially recognised in the UK
54. A learning outcome can be claimed at the start of the attendance of the accredited learning (which could include traineeships, providing the course(s) started as part of the traineeship meet(s) the criteria in subparagraphs 53.1 and 53.2 above).
55. To claim a job outcome, the customer must have:
  - 55.1. secured employment that is at least 16 hours a week for a minimum of four consecutive weeks, including apprenticeships; the minimum of 16 hours a week employment can consist of more than one job or
  - 55.2. demonstrated career progression, as shown by, an increase in earnings, through progression at work, promotion and/or increased responsibility or career change
56. A job outcome cannot be claimed until four weeks after the start of the employment, or until 13 weeks after commencement of the employment if the job started before 1 October 2015.

### **Evidence required**

57. Jobs or learning outcomes must be evidenced by follow-up contact between careers advisers and customers.
58. We will require evidence of one or more of the following:

59. Learning outcomes

- 59.1. A signed self-declaration form from the customer or voice recording confirming that they are in learning and meet the minimum requirements as stated above which **must** include the learning provider name and address.
- 59.2. Written evidence such as confirmation from the place of learning.
- 59.3. A signed learning agreement.
- 59.4. Signed and documentary evidence of a customer entering learning/skills training from the provider and/or employer.

60. Job outcomes

- 60.1. Confirmation of placement from the employer.
- 60.2. Documentary evidence/correspondence from the employer of a customer securing sustainable employment.
- 60.3. An email from the employer confirming a job offer.
- 60.4. A contract of employment.
- 60.5. A signed self-declaration or voice recording from the customer confirming that they are in work and meet the minimum requirements as stated which **must** include the employer name and address.

61. Every effort should be made to collect the evidence outlined in paragraphs 58 to 60 above. In instances where this is not possible you should take the following steps:

- 61.1. There should be a signed declaration by a senior manager within the prime contractor's organisation confirming the organisation's approach to follow-up and associated processes. The prime contractor must provide a copy of the declaration to the SFA at the beginning of each financial year.
- 61.2. You should place a note on the individual customer file stating that the customer has been followed up, with details of the outcome achieved. This should be dated and signed by the employee who has followed up the customer.

62. The SFA reserves the right to seek confirmation of the recorded outcomes.

## Section 4 - Delivery to adults in custody

The National Careers Service is available to adults in custody who are aged 18 and over.

Delivery and evidence of outcomes for those in custody will be, where possible, the same as those outlined in this document for the rest of the service. We outline any differences below.

63. Offenders who are recalled to prison will have the same entitlement to three outcomes within a rolling year - the rolling year begins again on the offender's return to custody. By recalled we mean an individual who is recalled on licence or returns to prison on a different sentence.
64. Where a customer is released from prison into the community, their rolling year restarts and a further three outcomes can be claimed provided that there is evidence of activity within the community for the outcomes to be claimed. Any outcomes claimed in this instance must be made from the appropriate budget.
65. The prison budget is ring-fenced and must not be used for any other purpose. Funding from the core budget must not be used for delivery in custody. Every attempt should be made to maximise the use of in-custody funds.
66. As a general guide, the SFA expects that the majority of delivery to prisoners should be focused on resettlement activity to reflect the proportion of funding allocated to resettlement prisons.

### Customer satisfaction

67. Please refer to paragraphs 29 to 38 in this document for the rules and evidence requirements relating to customer satisfaction.

### Evidence required

68. Both the adviser and customer must retain a copy of the skills action plan. Where signatures or confirmation is not provided at the time of the interaction, then a copy of the skills action plan must be sent to the customer. Please refer to paragraphs 34 to 38 in this document.
69. You should seek to gain confirmation of receipt from every customer that accesses the service.

## Career management

The main focus of career management outcomes should be with prisoners who are within the last 12 months of their sentence (to align to the transforming rehabilitation agenda).

They should also be in the context of:

- inter-agency liaison, including with the community rehabilitation companies (CRCs) and/or prime contractor custody-to-community liaison and the Offenders' Learning and Skills Service (OLASS) provider; this should be facilitated by the National Careers Service and shown as part of the customer journey
- how the prisoner will to continue to access the service through the gate
- interaction by the adviser with the prisoner and with other parties, as appropriate, through the skills action plan

You must provide clear evidence that all of these activities have been prompted or influenced by interaction with the National Careers Service adviser.

### Evidence required

70. We will require evidence of one or more of the following:

- 70.1. The use of career-related tools, including (but not limited to) the use of Virtual Campus (VC), particularly updates to their CV, action plan, jobs applications, (stored in the 'my documents' area of VC which can be also be accessed on release). Use of labour market information (LMI) and job profiles tools. There must be evidence that this activity has been prompted by prisoner interaction with a National Careers Service adviser.
- 70.2. Demonstrate the transfer of the skills action plan from in custody, through the gate, into the community service, with evidence of the production of a clean skills action plan and appointment booked. This should take place within six weeks of the prisoner's release.
- 70.3. Referral to Bring on Potential by adviser and prisoner upon release.
- 70.4. Demonstration of adviser input into a placement in prison industries or enrolment in OLASS where this can be linked, by providing evidence, to their career goals on release and relevant LMI.

- 70.5. Applying for Open University or distance learning courses through completion of the HE1 form with the head of learning and skills (HoLS) representative.

## **Jobs or learning**

71. For National Careers Service delivery in prisons, supporting an offender into a further learning/employment programme operating within the prison (for example OLASS, prison industries) is not an eligible progression. Starting on an Open University or distance learning course can be used as evidence for a jobs or learning outcome claim.
72. Progression to the [work programme](#) cannot be claimed as a job or learning outcome from custody.
73. Prisoners supported by the National Careers Service to progress into further learning/employment in the community through Release on Temporary Licence (RoTL) are eligible for a job or learning outcome. Evidence requirements are the same as outlined in paragraphs 57 to 62 of this document.
74. Where 18-year-old prisoners are released into the community and are eligible for a jobs or learning outcome then an outcome payment can be claimed.
75. You will need to ensure that all appropriate data-sharing protocols are in place in line with contractual requirements.

## **Section 5 - Inspiration activity**

A ring-fenced budget will be available in recognition of planned Inspiration activities linked to the brokerage activity between employers and schools and colleges that leads to inspiring and motivating opportunities for young people and adults. It will also include activities associated with developing a local resource area on the digital platform.

76. You must submit a monthly report to us detailing your activity against the agreed Inspiration plan submitted as part of the tendering process.
77. The report will contain as a minimum, the following:
- 77.1. Key milestones to implement the Inspiration plan.



77.2. Identification of progress against your Inspiration plan.

77.3. The key activities that have been undertaken, including:

- brokerage activities between employers and schools
- links to strategic partnerships including local enterprise partnerships (LEPs)
- activities carried out to promote the Inspiration agenda, including events
- any issues in implementing the Inspiration plan
- the impact of any activities which have taken place to demonstrate this, for example the number of schools, employers, individuals and intermediaries engaged

78. The SFA will provide a reporting template to capture this information.

79. The 5% funding must not be used for partnership working to raise awareness of the service or undertake outreach or other engagement activities.

## Section 6 - Contracting and subcontracting

To deliver the area-based National Careers Service, you may wish to appoint subcontractors.

Prime contractors remain ultimately accountable and responsible for all subcontracted provision. Any failure on behalf of a subcontractor to meet any of the requirements of the service will be treated as a failure by the prime contractor.

80. When appointing subcontractors you must take steps to avoid conflicts of interest, and you must tell the SFA in writing, about any circumstances (for example, common directorships) which might give rise to an actual or perceived conflict of interest. You must not proceed to award the contract without the SFA's permission in writing.

81. You must complete the subcontractor declaration form twice yearly, specifically for all National Careers Service subcontracted provision. We will provide a template for this.

82. You must not enter into new subcontracting arrangements or extend existing arrangements if any of the following circumstances apply:

82.1. Ofsted has rated your leadership and management as inadequate.

82.2. You have failed to meet the **matrix** standard.

82.3. The outcome of your annual financial health assessment is inadequate.

These conditions will continue until we are satisfied that the situations have been put right.

83. You remain ultimately responsible for all provision you have subcontracted.
84. You must only award contracts for delivering funded provision to legal entities. If the legal entity is a registered company, it must be recorded as 'active' on the Companies House database.
85. If the legal entity is a sole trader or partnership not required to register with Companies House or the Charity Commission, they must be registered as such with HM Revenue and Customs (HMRC).
86. You must not award a contract to a legal entity if:
  - 86.1. it has an above-average risk warning from a credit agency
  - 86.2. it has passed a resolution (or the court has made an order) to wind up or liquidate the company, or administrators have been appointed
  - 86.3. its statutory accounts are overdue
87. Subcontractors must keep to these funding rules.
88. Subcontractors must give us, and any other person nominated by us, access to their premises and all documents relating to providing careers information, advice and guidance funded by us.
89. Subcontracted funding agreements/contracts must include all the ESF clauses from your contractual documents.
90. You must carry out an investigation at your own cost if there is any evidence of a subcontractor's irregular financial or delivery activity. You must report the outcome of the investigation, in writing, to your SFA contact. You must do this within 10 days of your investigation ending.

### **Evidence required**

91. We will require the following evidence:
  - 91.1. Paragraph 79 – Written details of anything that could be considered to give rise to a conflict of interests, and a copy of the response from the SFA.

- 91.2. Paragraph 79 – Copies of the process you follow and checks you carry out when appointing subcontractors.
- 91.3. Paragraph 89 – A copy of the investigation report, including follow-up actions and outcomes.



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