

# Placement Technical Guidance for Independent Specialist Providers 2012/13

**February 2012**

Of interest to independent specialist providers and local authorities

**For Action**

## Further information

For further information please contact the appropriate YPLA territory.

### Northern Territory

Arndale House  
Arndale Centre  
Manchester, M4 3AQ

Moongate House  
5th Avenue Business Park  
Team Valley  
Gateshead  
Tyne and Wear, NE11 0HF

Mercury House  
4 Manchester Road  
Bradford  
BD5 0QL

### Eastern Territory

17a Meridian East  
Meridian Business Park  
Leicester, LE19 1UU

Felaw Maltings  
42 Felaw Street  
Ipswich, IP2 8SJ

### Southern Territory

Sanctuary Buildings  
Great Smith Street  
London, SW1P 3BT

Bridge House  
1 Walnut Tree Close  
Guildford  
Surrey, GU1 4GA

### Western Territory

NTI Building  
15 Bartholomew Row  
Birmingham, B5 5JU

St Lawrence House  
29-31 Broad Street  
Bristol, BS1 2HF

We understand that the Education Funding Agency (EFA) will be operating from the following offices from 2 April 2012. These locations may be subject to change and it is advisable to check the EFA website.

### Northern Territory

Piccadilly Gate  
Store Street  
Manchester  
M1 2WD

Mowden Hall  
Staindrop Road  
Darlington  
County Durham, DL3 9BG

### Eastern Territory

1-3 Trust Court  
Chivers Way  
Histon  
Cambridge, CB24 9PW

Lime House  
Mere Way  
Ruddington  
Nottingham, NG11 6JS

### Southern Territory

Sanctuary Buildings  
Great Smith Street  
London, SW1P 3BT

Bridge House  
1 Walnut Tree Close  
Guildford  
Surrey, GU1 4GA

### Western Territory

Freshfield House  
Redcliffe Way  
Bristol, BS1 6NL

Earlsdon Park  
Butts Road  
Coventry, CV1 3GD

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# Introduction

- 1 This guidance sets out the procedures and criteria for the agreement to, and placement of, learners at independent specialist providers pursuant to the legal duties and powers imposed on local authorities and the Young People's Learning Agency (YPLA) under the Apprenticeships, Skills, Children and Learning Act 2009 (ASCL Act). These duties and powers are in relation to securing the provision of education and training for learners with learning difficulties and/or disabilities who are over compulsory school age but under 25 and are subject to a learning difficulty assessment.
- 2 This guidance forms part of the YPLA condition of funding, including contractual obligations and the use of the contact-hours approach... Independent specialist providers are required to follow the overall methodologies contained within this document. In addition, independent specialist providers are required to ensure that, whatever approach they choose to adopt, the definition and evidence of hours of support delivered to learners are robust, appropriately evidenced, effectively monitored and available to the YPLA.

## Contractual Requirements

### Funding methodology

- 3 The YPLA funding methodology for independent specialist providers is outlined in Annex 1 – TG ('Contact Hour Ranges') and Annex 2 ('Support Bands: Rates for 2012/13') to this document. Independent specialist providers are contractually (schedule 1, clause 3) bound to operate within the funding methodology.
- 4 The funding methodology reflects the comparable cost of a programme of study for a maximum of 38 weeks a year. The funding covers all elements of the programme and the support required by the learner to access the programme of education and training, including residential provision where appropriate. The funding also covers the cost of the pre-entry assessment of the learner by the independent specialist provider. No separate fees should be charged to the learner, or any agencies, in respect of this assessment.
- 5 The funding levels are gross; payments from other agencies will be deducted from the total placement cost. Contributions made by other agencies in respect of any weeks over and above the maximum YPLA-contracted 38-week funding period are outside the YPLA's remit and will not be considered.

### Exceptional funding

- 6 Contact hours provided to a learner that are in excess of the limits defined by the contact hours range (Annex 1 – TG: 'Contact Hour Ranges') may indicate that the learner is in need of support that requires exceptional funding.

- 7 A separate claim (Annex 7 - TG: 'Exceptional Funding Request Summary Form'), together with supporting evidence for these exceptional needs, must be submitted to the learner's home local authority at the earliest opportunity for consideration. All contact hours must constitute direct learner contact with a suitably qualified member of staff and must not relate to back-office or other costs, eg reception and administration. See paragraphs 47-56 for more information.
- 8 The request must clearly indicate which elements of support are considered exceptional, the associated costs of providing those elements of exceptional support and justification for why the support is needed for that learner in the circumstances.
- 9 Requests for exceptional funding in excess of £35,000 over the published support band rates outlined in Annex 2 - TG ('Support Bands: Rates for 2012/13') will be subject to an independent review commissioned by the YPLA. This may result in funding decisions taking longer, but the rationale is to support the responsibilities of the YPLA and local authorities in respect of the effective and proper use of public funds.

#### **Non-programme delivery**

- 10 Where an independent specialist provider is unable to deliver any element of support identified in the learning difficulty assessment, and as set out in the individual learner schedule, it is a contractual obligation (schedule 2, clause 5) that the independent specialist provider inform the learner's home local authority and submit a revised Annex 6 - TG ('Confirmation of Agreed Provision 2012/13').
- 11 Any failure by the independent specialist provider to notify the learner's home local authority of changes to the delivery of support could be considered a breach of contract, as set out at clause 18 of the contract.

#### **Withdrawals**

- 12 It is a contractual obligation (schedule 4, clause 2.6) for independent specialist providers to advise the learner's home local authority and the YPLA as soon as possible if a learner is no longer attending the placement. The independent specialist provider must complete and forward Annex 8 - TG ('Withdrawal Notification for YPLA-funded Learners at Independent Specialist Providers') of this guidance to the learner's home local authority.
- 13 Where a withdrawal is due to a learner fatality, the independent specialist provider, at the earliest opportunity, must inform the learner's home local authority and the YPLA in line with health and safety guidance as per the obligations set out in schedule 3, clauses 6 and 7 of the contract.
- 14 The independent specialist provider will be responsible for ensuring the learner's home local authority has received the documentation. If the independent specialist provider has submitted a withdrawal form and is aware that it is still receiving funding for that learner, it must immediately advise the learner's home local authority.

- 15 For budgetary purposes, it should be noted that, as set out in the contract (schedule 2, clause 5.3), the independent specialist provider may or may not be funded depending on the reason for withdrawal.

### **Learner assessments**

- 16 Independent specialist providers are required to assess learners as part of their pre-entry assessment procedures and to confirm each learner's support needs as part of the existing review processes. The pre-entry assessment should be informed by the learner's learning difficulty assessment. The purpose of the learning difficulty assessment is to identify the young person's needs and support required to access the proposed education and training, and appropriate provision that can meet those needs.

### **Review reports: minimum requirements**

- 17 Independent specialist providers are contractually required (schedule 2, clause 2.2) to undertake learner reviews at the end of the first term of the placement, in the first half of the summer half term and in the final term of the placement.
- 18 The review report should clearly set out the progress made by the learner in relation to the agreed programme(s) of study against the learner's transition plan. It is expected that any areas of concern will be highlighted within these reports. All review reports are required to be completed, signed and dated by the independent specialist provider, and received by the learner's home local authority no later than four weeks after their completion.
- 19 Local authorities will use the review reports to inform future commissioning decisions. This is also the process by which a change in learner support requirements is identified, and, where appropriate, agreed.
- 20 Where learners are expected to require a further academic year to complete their current programme(s), review reports must be sent to the learner's home local authority no later than 30 May with the exception of extension requests which are set out at paragraph 36 to enable a decision to be made on the continuation of funding and to avoid delays to payments.
- 21 Local authorities may set out the information they require to be included in a learner review, which could include:
- learner's personal details (name and date of birth)
  - programme start- and end dates
  - confirmation that the learner's support needs are still as detailed within the individual learner schedule and whether any support or consequential funding changes (increased or decreased) have been identified or agreed. Where a decrease in support levels has not occurred, this should be justified to the local authority by the independent specialist provider
  - input from specialists, for example where learners are seen by speech and language therapists, physiotherapists etc
  - confirmation that the learner is still following the programme(s) as outlined on the individual learner schedule and any changes are clearly identified

- an outline of achievements and/or progress made towards the objectives identified in the individual learner schedule. It is suggested that the review report includes an update on all elements of the learner's agreed programme
  - an outline of targets (academic and non-academic) for the forthcoming period of study
  - an appropriate transition plan giving an indication of how transition planning is embedded throughout the duration of the learner's programme, paying particularly attention to the final period of the placement
  - an update on how the programme is supporting the learner to make his or her transition beyond independent specialist provision.
- 22 Generally, it would not be expected to see transition from one independent specialist provider to another or for further education or training provision beyond that initially commissioned. It is expected that a placement will equip learners with the necessary skills and knowledge to allow them to progress beyond independent specialist provision of education or training. Where the learner is nearing the end of his or her placement, it is suggested that this update includes opportunities and support for the learner to consider alternative provision (further education, higher education, supported employment, voluntary work and so on). It would also be helpful to include opportunities for input and guidance from other agencies (guidance counsellors, social care professionals, medical practitioners, local authority officers and so on).

### **New placements**

- 23 The independent specialist provider should complete (as set out at paragraphs 45-56), sign and forward Annex 6 - TG ('Confirmation of Agreed Provision 2012/13') to the learner's home local authority.
- 24 The YPLA will release payment to independent specialist providers once the learner's home local authority and the independent specialist provider have reached an agreement on funding levels outlined on Annex 6 - TG ('Confirmation of Agreed Provision 2012/13').
- 25 The local authority is responsible for completing the remainder of the Annex 6 - TG, signing and sending it to the appropriate YPLA region.
- 26 The YPLA will upload the placement information and generate an individual learner schedule which will enable payment to be made to the independent specialist provider.
- 27 The individual learner schedule will be forwarded securely to the local authority and the independent specialist provider as a record of the agreed placement and to confirm the payment terms between the YPLA, on behalf of the local authority, and the independent specialist provider.
- 28 The independent specialist provider is responsible for ensuring that information shown on the individual learner schedule is accurate. Any discrepancies should be raised with the learner's home local authority within 10 days of receipt. The local authority is then required to update the YPLA territory with any inaccuracies, which will enable the details to be amended by the YPLA and a revised individual learner schedule to be raised and forwarded to the independent specialist provider and local authority.



- 29 If the YPLA does not receive notification of inaccuracies, an assumption will be made that the independent specialist provider and learner's home local authority consider the information contained within the individual learner schedule to be an accurate record of the agreed placement.
- 30 The individual learner schedule is an auditable document that completes the terms of the contract for each learner between the independent specialist provider and the YPLA.

### **Placement summary**

- 31 Each YPLA territory will send to each independent specialist provider based within its territory a placement summary at the start of the autumn, spring and first half of the summer term. Any inaccuracies on the placement summary will need to be raised with the learner's home local authority.

### **In-year changes**

- 32 Following identification of a change in support needs, requests to change a learner's level of funding in-year (that is, at any time other than through the review process) are likely only to be considered in exceptional circumstances. The changes must be discussed and agreed with the learner's home local authority before amendments are put in place.
- 33 Once changes have been agreed by the learner's home local authority, the independent specialist provider is contractually required (schedule 2, clause 1.1 and 5) to complete an amended Annex 6 - TG ('Confirmation of Agreed Provision 2012/13') and forward it to the learner's home local authority, together with the appropriate review report, and any other evidence requested by the local authority to support the change.
- 34 It is unlikely that changes will be agreed retrospectively.

### **Incident Reporting**

- 35 The independent specialist provider must inform the YPLA Contract Manager and learner's home local authority of incidents in accordance with (schedule 3, clause 6) within 72 hours of their occurrence. The information provided should include as a minimum:
- Name of learner and provider
  - Date of incident
  - Details of incident
  - Planned action following incident

### **Placement extension requests**

- 36 It is expected that requests to extend an individual learner placement beyond the duration of the programme's original end-date would only be agreed in **exceptional** circumstances.

- 37 Effective transition planning will be embedded within the learner programme to ensure there is clear progression at the end of the agreed placement. It is not expected that extension requests will be sought to offer additional time at an independent specialist provider where effective transition planning has not taken place.
- 38 An example of where a placement extension may be considered to be a genuine requirement may include cases where a learner has been unable to complete his or her learning aims due to unexpected medical reasons. It is expected that any concerns or problems relating to achievement will be raised in termly reviews and documented within the learner's review and progress reports. Contact should be made with the learner's home local authority to discuss particular concerns at the earliest opportunity.
- 39 In the best interests of the learner, extension requests should be made to the learner's home local authority as early as possible before the start of the proposed extension period and no later than the end of the penultimate term of the academic year in which the learner's existing placement ends.

#### **Destination data**

- 40 The YPLA is collecting data on destinations. Independent specialist providers are currently completing/submitting the Individual Learner Record (ILR), and any collection of data outside of the ILR is an interim measure. Independent specialist providers during this interim period are required to complete Annex 10 – TG: Record of Learner Destination of this guidance.

#### **Attendance reconciliation report**

- 41 To support local authority planning and reconciliation processes and as set out in the contract (schedule 4, clause 2), the YPLA territory on behalf of local authorities will annually (in the summer term), send to each independent specialist provider based within its territory an attendance reconciliation report (ARR). Independent specialist providers are contractually required (schedule 4, clause 2) to check the details and return a signed copy within 10 working days of receipt, highlighting any changes to the relevant YPLA territory. This is an important process as payments may be recovered in the light of any changes to individual learner attendance.

#### **Data and information transmission**

- 42 The transfer of data and information should be undertaken in accordance with local authorities and YPLA data transmission and encryption policies, whilst adhering to schedule 4, clauses 2.1-2.21 of the contract. It will be the responsibility of the independent specialist provider to ensure that personal information is sent securely, whilst observing its legal obligations under the Data Protection Act 1998 and related legislation.
- 43 Personal data and other sensitive information when sent electronically to the YPLA must be encrypted using WinZip, and a pass phrase sent separately via an alternative means, for example, by telephone or separate email. Once the intended recipient has confirmed safe receipt of the encrypted email, the pass phrase to open the file will be shared.

- 44 When it is necessary to share information of the type described above by post, it must be sent securely packaged (an envelope within an envelope) and using Royal Mail special delivery service (not Royal Mail recorded delivery) or an equivalent secure delivery service provided by a specialist courier (where the information is trackable, delivered to the intended recipient who will sign to confirm safe receipt and the delivery date and time are specified, ie the day after posting).

# Completion of Annex 6 - TG: Confirmation of Agreed Provision 2012/13

## Contact hours

### Definition

- 45 Annex 6 - TG: Confirmation of Agreed Provision 2012/13 is a key document that details the placement that has been agreed for a learner between the local authority and independent specialist provider. In addition, Annex 6 - TG provides the YPLA with the minimum level of information that the YPLA requires to enable payments to be made to independent specialist providers.
- 46 The funding methodology enables independent specialist providers to quantify the support, in terms of contact hours, being provided to a learner in a typical week of the agreed placement. A typical week is defined as one in which normal teaching and support practices are maintained. It can be argued that where provision is affected by a one-off incident, support for the learner involved may be higher than normal, but this is expected to balance out over time.
- 47 Contact hours can only be provided by staff who are appropriately qualified and experienced, or whose job description includes responsibilities for them to undertake a specific service that takes place with the learner. For example:

#### Acceptable

- residential support worker providing support to learners during an independent living skills session, supervised by a tutor
- tutor supporting a learner to attend an evening activity.

#### Not acceptable

- residential support worker, without the appropriate qualifications or training, providing a specific therapy session
  - tutor, without appropriate medical qualifications or training, administering medical support to a learner
  - nurse, without educational qualifications or training, providing a mathematics tutorial to a learner
  - non-direct learner contact, eg back office or administrative functions.
- 48 Contact hours can be provided to learners by staff at any time that it is identified that the learner requires support. It is envisaged that contact hours will generally be through classroom contact or contact within residential accommodation. Classroom contact includes any environment where education is being delivered. However, other areas may also have key contributors to a learner's weekly contact hours.

49 However, it is not always the case that each member of a group of learners receiving contact time from a number of staff receives equal contact time. A particular learner within the group may have more time devoted to their needs by the staff present.

**Example scenario**

- Six learners are being taught in a classroom by three staff members for one hour.
- Learners A and B have specific needs that also require 50 per cent of the time of one additional member of staff.
- Learner C also receives support from one additional member of staff.

50 Table 1 shows how the contact time of the three staff members in the scenario above has been allocated to the six learners. The check is that contact hours, received by the six learners, total three hours.

**Table 1: Example scenario showing total contact hours**

	Staff member			
Learner	Staff 1	Staff 2	Staff 3	Total hours
A	10 mins	30 mins		40 mins
B	10 mins	30 mins		40 mins
C	10 mins		60 mins	70 mins
D	10 mins			10 mins
E	10 mins			10 mins
F	10 mins			10 mins
<b>Total hours</b>	1 hour	1 hour	1 hour	3 hours

**Contact hour bands**

51 Contact hours are then further separated into two key areas:

- education and independent living skills
- care and therapy.

52 The appropriate classification of the contact time will depend on the specific needs and circumstances of the learner. However, as a general guide, any session within education and independent living skills must have definable and measurable learning objectives within the session objectives.

- 53 The ranges of contact hours allowed for within each funding band are shown in Annex 1 - TG ('Contact Hour Ranges').

### **Methodology**

- 54 A contact hour is defined as an equivalent of one hour of direct contact by one member of staff with a single learner. For example, a contact hour is equal to one hour of one-to-one support, and an equivalent hour is two hours of support by one staff member to two learners (that is, a ratio of 1:2).
- 55 For the purpose of calculating contact hours, it is not necessary to consider:
- hourly rate
  - annual salary
  - benefits (annual leave, pension, sick leave or sick pay)
  - contractual terms of the staff member undertaking direct contact with a single learner.

### **Staff training**

- 56 Although this may be related to a staff member providing specific contact provision in the future, staff training costs and time have been assessed as part of the overarching overheads and are, therefore, already included within overhead costs. Time for staff training cannot be included in contact hours.

# Record-keeping and Audit Trail

- 57 It is a contractual obligation (schedule 2, clause 6 and schedule 3, clause 2) to maintain adequate records that detail actual contact hours delivered. In the absence of such records or evidence, the YPLA may seek to implement funding recovery arrangements. Independent specialist providers may find it helpful to share methodologies with each other.
- 58 Demonstration of specific contact time should be evidenced by notes that are prepared at the time or shortly after the provision or support has been delivered. The notes must be signed and dated by the author and filed within the respective learner's care plan or education records. The records are expected to demonstrate an accurate picture of the current and previous support in place for the learner. The record will need to match with the provision and support (including equipment) outlined on the individual learner schedule within the funding period specified. In addition, the name of an appropriate person at the independent specialist provider should be given, who can provide further information, if necessary, to the YPLA.
- 59 Evidence such as timetables, attendance records, session records, staff rotas and shift records, care plans, and review reports by tutors are expected to verify the contact-hour records for each learner and should be retained by the independent specialist provider as per contractual requirements (schedule 3, clause 2). Evidence outside the daily timetable should be maintained to verify contact time given to learners. The evidence should demonstrate staff to learner ratios in residential houses during mornings, evenings and weekends. Records of actual support and intervention for each learner should support the average contact time that is claimed on Annex 6 - TG ('Confirmation of Agreed Provision 2012/13') and shown on the individual learner schedule. As part of the regular cycle of visits, the YPLA assurance and financial monitoring team will randomly select a sample of learners for review at an independent specialist provider to test adherence to the YPLA contract terms including the accuracy of individual learner schedules. Independent specialist providers' internal control processes for defining and monitoring the support provided to learners will also be viewed.
- 60 Evidence should be retained by the independent specialist provider in relation to any equipment purchased to enable a learner to fully participate in their programme of education and training. Where evidence is not available or purchases are made for non education and training related equipment, the YPLA may seek to implement funding recovery arrangements.
- 61 If independent specialist providers are required to submit additional information to the assurance and financial monitoring team following an audit visit, this should be undertaken in accordance with the YPLA's data transmission and encryption policies (see paragraphs 42-44).

# Profiles

- 62 The staffing profile for an independent specialist provider will be determined primarily by the needs of its learners. Learner-facing staff will be supported by administrative and support staff, the costs of which have been built into the funding methodology.
- 63 Independent specialist providers may undertake, at least annually, a logic test that checks the total number of staff contact hours claimed for the entire learner population against the total contact hours that are available to be provided by learner-facing staff at the independent specialist provider.
- 64 Information in respect of effective practice, including contact time and methods of collecting data, is available in Annex 3 - TG ('Effective Practice') of this guidance.



# Clarification of Specific Issues and Variations in Practice

- 65 The provision of services within independent specialist providers is diverse and there are many different models in use. This section attempts to identify some of the specific issues and variations that may be encountered.

## **Learners placed at independent specialist providers who attend general further education colleges or other education providers**

- 66 Staff who accompany learners whilst they are attending other providers that deliver a sub-contracted element of the learner's agreed programme should be included in the appropriate category, namely either 'education and independent living skills' or 'care and therapy' as detailed in Annex 6 -TG ('Confirmation of Agreed Provision 2012/13'). If staff interact with learners during the sessions, this contact time should also be recorded under one these categories.
- 67 The provider retains discretion in classifying the type of provision its staff provides, as it will understand the nature of the service level agreement that is in place which is specific to the learner and his or her circumstances. The YPLA will want to see evidence and supporting data and may challenge the legitimacy of such costs if claimed in the absence of evidence or data.
- 68 Contact time may also be provided by the staff at the sub-contracted provider. If the independent specialist provider where the learner is placed is paying for this provision, then the amount of time should be identified and included within the learner's contact-hour records.
- 69 If the independent specialist provider does not pay for the provision, no contact time from the sub-contracted provider's staff should be included.

## **Staffing**

- 70 Contact hours can only be provided by staff who are appropriately qualified and/or experienced, as detailed in paragraphs 47-56 of this guidance. Examples are given below of various different scenarios.
- 71 The examples provided are not exhaustive and therefore may omit certain situations that are unique to the independent specialist provider. The over-riding rule for these anomalies is that if there is direct contact provision, or a justifiable case for inclusion, independent specialist providers must ensure that it is fully documented so that local authorities can make an assessment of the impact that this support has on the learner.

## Night staff

- 72 It is assumed that a proportion of the time worked by night staff will be contact time. However, it is viewed that this element will not be typical, or consistent, each week. It is advised that records are obtained for each house identifying contact-hour provision. However, a discussion/assumptions paper is likely to be required to make adjustments for the learners receiving this contact time so that it reflects the average provision over the year (maximum 38 weeks).
- 73 Contact hours for night staff should only include direct contact hours, and not the number of staff and hours worked in relation to waking night duty (waking night duty is not a general apportionment of staff to learner ratio). Examples of legitimate contact hours in such circumstances may include those that are required to make necessary interventions to ensure the safety of learners is maintained, for example, to administer medication, or turn learners during the night.
- 74 The data to be collected comprises:
- details of contact time provided by night staff to the learner for each placement week and residential house
  - night staff rotas for each residential house for each placement week
  - discussion/assumptions paper dealing with averaging of provision over the summer, autumn and spring terms.

## Houseparents

- 75 Contact time provided by houseparents can be recorded as long as the support provided is evidenced. The evidence must demonstrate that the learner requires the level of support being claimed, and that such support has in fact been provided, rather than the level of support that is simply available.

## Volunteers

- 76 Volunteers should be included if they are contracted to undertake formalised working hours and responsibilities similar to those of fully remunerated staff (see paragraphs 47–56 and Annex 1 – TG, ‘Contact Hour Ranges’ of this guidance). If the use of volunteers is informal and they have no obligation to provide services to the learners, they should not be included.
- 77 Where a volunteer is contracted to undertake formalised working hours and responsibilities, and is providing support to a learner for whom exceptional funding is required, the detailed assessment of support must clearly specify all areas that are provided by the volunteer, and the required evidence prepared and retained (see paragraphs 47–56 of this guidance).

## Management and administrative staff

- 78 Management staff may be able to demonstrate, and evidence as required, that a small percentage of their time is spent in direct contact with learners, or they may teach a few sessions or conduct a number of tutorials or reviews. This contact time is acceptable. However, if these contact hours are not regular (at least weekly) or are undertaken in only one term, they need to be adjusted for

the overall provision in the year and amended to show the contact hours for one 'typical' week.

- 79 Some administrative staff are likely to have contact with learners, but unless this is included in their job description and entails education and independent living skills or care and therapy (with all the associated and required safeguards as set out at paragraphs 45-56), it cannot be counted as contact time because their time and costs have been included as part of overarching overheads. A valid reason for including contact time would be, for example, direct contact in supporting a learner on work placement within their office.

#### **Catering staff**

- 80 Catering staff certainly have contact with learners but, as with administrative staff, the only allowable contact time would be for direct contact which entails education and independent living skills or care and therapies (with all the associated and required safeguards), such as overseeing a learner undertaking work experience in their environment. Other contact time would be disallowed on the basis that it is not specific to learners and has been accounted for within the overarching overheads. The definition of catering staff does not include, for example, members of staff providing specific contact in delivering care needs for learners such as dealing with feeding tubes or other support for feeding requirements.

#### **Technical staff**

- 81 Specific contact time, such as instructing learners on how to use equipment, is allowable. However, if these contact hours are not regular, or are undertaken in only one term, they need to be adjusted for the overall provision in the year and should show the contact hours for one 'typical' week.

#### **Maintenance, cleaning and/or household staff**

- 82 Maintenance, cleaning and/or household staff are all likely to have a degree of contact with learners. As with administrative staff, the only allowable contact time would be for direct contact that entails education and independent living skills or care and therapies (with all the associated and required safeguards), such as overseeing a learner undertaking work experience in their environment. Other contact time would be disallowed on the basis that it is not specific to learners and costs have been included as part of overarching overheads.
- 83 If any other members of staff provide contact time to learners, this should be recorded and can be justified and evidenced as relating to education and independent living skills or care and therapies.

#### **Equipment**

- 84 It is expected that equipment in general is accounted for within the independent specialist provider's infrastructure, and thus the costs are included within overarching overheads. However, it is recognised that for some learners the independent specialist provider will find it necessary to purchase additional equipment to meet the individual learner's specific needs to enable him or her to fully participate in learning.

- 85 Where a piece of equipment:
- will follow them in their onward progression when the placement ends
  - is so highly specialised that it is purchased solely for use by an individual learner
  - has no future use to any other learner
- it may be possible to request exceptional funding to support the cost of that specific piece of equipment in the circumstances listed above.
- 86 If additional equipment is identified for the learner to participate in learning, it is expected that the equipment will be in place at the start of the placement.
- 87 If a learner's needs change and the equipment is no longer required the independent specialist provider must submit a revised Annex 7 – TG to the local authority, to enable funds to be recovered.
- 88 Delays in putting essential equipment in place are not justification for extending a learner's programme.
- 89 Funding requests should not be submitted for any equipment that will become part of the independent specialist provider's infrastructure or is not for education related purposes, such as tracking for hoists, shower chairs or hearing loops etc. When completing Annex 7 -TG ('Exceptional Funding Request Summary Form') of this guidance, independent specialist providers should clearly list:
- the equipment that a learner requires
  - the aspects of that equipment the learner will be providing themselves (for example, that previously used in the home or in another learning environment)
  - where alternative sources of funding will provide for particular pieces of equipment (for example, primary care trusts)
  - where funding is sought from other agencies, eg social care, health authority.
- 90 As part of its role to secure proper use of public funds, the YPLA would expect an independent specialist provider to have explored alternative equipment options and properly researched prices before purchasing equipment for a learner. The independent specialist provider should also be able to evidence this research. Where a learner did not require the identified specialist equipment in his or her previous placement, the independent specialist provider should justify this additional cost as part of the information submitted to the home learner's local authority. It would not be expected that an application to fund a piece of equipment would be forwarded to a local authority part-way through a learner's programme without robust supporting evidence and reviews to demonstrate the learner's needs and to identify why the equipment is deemed essential.
- 91 Funding provided to purchase individual items of equipment will be reviewed as part of the YPLA audit processes and any equipment not deemed to be education related will be subject to funding recovery as appropriate.

## **Asset acquisition**

- 92 If the YPLA funds an independent specialist provider for a learner and the placement includes the funding of assets, then the YPLA retains an interest in those assets. This interest is primarily a financial interest, proportionate to the YPLA's funding of the asset. However, as a result of this financial interest, the YPLA also reserves an interest in the disposal of such assets. The YPLA territory will retain a record of these assets in order to ensure that its interests are not prejudiced. Further information can be found in *Funding Assets for Other Organisations* (LSC, 2006; references are in Annex 11 - TG of this guidance).

## Annex 1 - TG: Contact Hour Ranges

1 In the tables below, 'expected hours' are a benchmark figure for the split between the two main categories. 'Total volume' is an absolute minimum level that must be adhered to. Flexibility will exist between the two main categories.

### Day learners

Band	Education and independent living skills: expected hrs/wk	Care and therapy: expected hrs/wk	Total volume (minimum hrs/wk)
D	4–6	0–1	5
E	6–8	0–1	7
F	8–10	0–2	9
G	11–15	0–3	14
H	11–21	0–13	20 (maximum 30)*

*\*This is the maximum average weekly hours funded within the band, more hours would ordinarily qualify for exceptional support.*

### Residential learners

Band	Education and independent living skills: expected hrs/wk	Care and therapy: expected hrs/wk	Total volume (minimum hrs/wk)
D	7–10	4–6	13
E	8–12	5–7	15
F	10–20	5–10	22
G	14–20	10–14	31
H	18–29	14–25	44 (maximum 50)*

*\*This is the maximum average weekly hours funded within the band, more hours would ordinarily qualify for exceptional support.*

## Annex 2 - TG: Support Bands: Rates for 2012/13

- 1 This annex gives the funding approach that will be used for the 2012/13 academic for all learners whose placement have been agreed by the learner's home local authority.

<b>Band</b>	<b>Day</b>	<b>Residential</b>
D	£13,186	£26,689
E	£17,841	£36,249
F	£22,495	£42,303
G	£32,967	£49,069
H	£45,247	£68,829

## Annex 3 - TG: Effective Practice

### Example areas of contact and methods of data collection

- 1 The process of accurately identifying the contact hours for each learner may be simplified by dividing the learner's day into areas where support is provided by different staff. The contact hours can then be collected either through specific monitoring and recording of the learner on a 'typical' week or by using specialist data already available and specialist experience of the learner's support needs.
- 2 The examples below follow learners on both residential and day placements through their week and details how to identify and capture contact data. **Note that in all the examples, the times given are assumed and are given as a guide only.**

### 7am-9am: breakfast at home (note these are assumed times)

#### Residential learners

- 3 During this time, the learners are having their breakfast, and getting washed, dressed and ready for the day. They may also take transport to the independent specialist provider for which residential staff can escort them. In effect there are a set number of possible contact hours provided by the residential staff to the learners in a specific house during this period.
- 4 The most straightforward way of getting an accurate picture of the contact time provided to these learners is to identify areas of exception (such as one-to-one contact time) which can be directly attributed to a specific learner. The remaining contact time provided by the staff will be apportioned over the specific house's entire YPLA-contracted learner population using an agreed method. The method of apportionment should be discussed with an appropriately experienced staff member (such as the house manager) to ensure that the method is a fair reflection of the actual provision provided.
- 5 As the nature of residential support can vary from week to week for each learner, it is advised that the exceptions are a fair reflection of a typical week and the average over the entire year (see paragraph 46 of this guidance).
- 6 Data to be collected when evidencing a learner's actual provision is:
  - house lists
  - residential staff rotas for each placement week
  - assumption of the percentage of contact time provided by residential staff (this needs to identify times where residential staff are undertaking administrative duties)
  - list of exceptions agreed by the house manager for each day (tasks that may add up over the day to more than 15 minutes and that are at a ratio of one staff member to one learner or higher – for example, two staff members to one learner). The exceptions should detail learners receiving exceptional support, timings of support (start, finish and duration), type of support and the number of staff providing it.



- 7 Data to be collected if using management experience and assumptions is:
- house lists
  - residential staff rotas for each placement week
  - assumption of percentage of contact time provided by residential staff (this needs to identify times where residential staff are undertaking administrative duties)
  - assumption of percentage weighting of contact time that a learner receives from the residential staff (using a learner, with average needs from his or her cohort as a base and assessing other learners as a percentage above or below this to build up a picture of how to allocate the contact time provided)
  - learner care plans to support the weighting assumptions made by management.

### Day learners

- 8 It is viewed that day learners do not arrive until the timetabled education sessions commence; however this may not always be the case and if day learners receive contact time before 9am, a method for capturing this information should be used.

### 9am-4pm: timetabled education sessions (note these are assumed times)

#### Day or residential learners

- 9 It is viewed that information obtainable from individual learner timetables or the independent specialist provider's master timetable will provide a detailed understanding of the following: when contact time occurs, other learners that are present (thus diluting the contact time available) and the staff member leading the session. Timetabled information may not always show the presence of teaching assistants, so it is recommended that each session leader completes the session record at Annex 4 - TG ('Session Record Form') of this guidance, which allows the capture of data including: learners present, staff members present, timing of session, and more importantly the ratio of contact time provided by a staff member to the learners present (thus it picks up the one-to-one contact time and so on). This will also act as a cross-check on the learner timetables.

- 10 An example of a completed session record is shown in Table 3.1.

**Table 3.1: Example of a completed session record**

Activity	Literacy			
Day	Monday	9am-10am		
Room	1			
	<b>Staff members</b>			
Learner	X	Y	Z	Comments
A	10 mins	30 mins		
B	5 mins			Left early for physio session
C	10 mins	30 mins		
D	10 mins			
E	10 mins		60 mins	
F	10 mins			

- 11 In the example shown in Table 3.1, staff member X provides even contact time to all learners (although adjusted as learner B leaves the session halfway through), staff member Y is attached to learners A and C only due to their needs and similarly staff member Z is attached to high-needs learner E.
- 12 Data to be collected if recording and evidencing a learner's actual provision is:
- individual learner timetables
  - independent specialist provider master timetable and teaching assistants' timetables (if available)
  - session records for each timetabled session for each placement week, detailing actual provision to learners.
- 13 Data to be collected if using management assumptions and experience is:
- individual learner timetables
  - independent specialist provider's master timetable and teaching assistants' timetables
  - session records for each timetabled session to be completed using session leader's experience of usual provision to learners.

### **9am-4pm: timetabled therapy sessions (note these are assumed times)**

#### **Day or residential learners**

- 14 It is viewed that as this provision of contact time may be timetabled, it should follow the same methodology as the timetabled education sessions. A more distinct problem identified with this, however, is that learners may not receive this provision at a similar level over each of the independent specialist provider's terms. If we just look at the current term, it may overstate the current provision to learners receiving therapies, and understate therapies received by other learners during other terms. A discussion/assumptions paper to assess this issue should be produced by the appropriate head of department responsible for therapy. When assessing the provision of therapy received by the learner population, it should be spread over the year and an average for a typical week apportioned to learners receiving therapy. This documentation should also identify where the independent specialist provider has assigned the therapy sessions (either within 'education and independent living skills', or 'care and therapies').
- 15 Data to be collected if recording and evidencing a learner's actual provision is:
- overall therapy timetable for each term
  - session attendance records for the current term's provision for each placement week
  - discussion/assumptions paper dealing with recording provision over the summer, autumn and spring terms.
- 16 Data to be collected if using management assumptions and experience is:
- overall therapy timetable for each term
  - attendance records for each timetabled session to be completed using the session leader's experience of the usual delivery of provision to learners
  - discussion/assumptions paper dealing with recording provision over the summer, autumn and spring terms.

- 17 Please note that session content information will not, under any circumstances, be requested by the YPLA as this breaches client confidentiality.

### **Lunch and breaks (various times between 9am and 4pm)**

#### **Day or residential learners**

- 18 It is assumed that learners can move between different areas within the independent specialist provider during the lunch or break periods, so recording and evidencing the entire learner population is very difficult for these periods. It is suggested that the total staffing that supervises each lunch and break period on a daily basis is recorded to ascertain a total number of lunch and break contact hours. If certain learners are provided with direct one-to-one contact from a specific staff member, this is also recorded and would be subtracted from the total lunch or break contact hours. The remaining total number of contact hours provided to the remaining learner population during lunch and breaks could then be apportioned using an agreed method that provides a fair reflection of the actual provision to the learners.
- 19 Data to be collected is:
- times of breaks and lunch each day
  - number of learners on-site at each break (exclude learners who have gone back to their house – this provision should be covered by residential staff data) at each break
  - staff providing lunch or break contact time outside the learner's residence
  - a list of exceptions agreed by an appropriate staff member for each day (tasks that may add up over the day to more than 15 minutes and are at a ratio of one staff member to one learner or higher – for example two staff members to one learner). The exceptions should detail learners receiving exceptional support, timings of support (start, finish and duration), type of support and the number of staff providing it (it may not always be possible to identify actual staff names).

### **Medical contact time (various times throughout the day)**

#### **Day or residential learners**

- 20 For some learners, there may be no clearly defined timetabled records of this provision, only access records, and therefore it would be most accurate for medical staff such as doctors, nurses or healthcare assistants to record their activities for a week. The advised method of recording activities would be by way of maintaining a diary breaking the day down into 15-minute blocks. Each block should describe the task being undertaken and when applicable the learners involved. Every staff member dealing with medical provision should undertake this recording of information. It may not be practical to request this requirement of certain staff in the medical team and if this is the case, a paper justifying contact time to specific learners should be produced with adequate evidence to support it.
- 21 The alternative approach is the calculation of total contact hours provided by those staff members from hours worked and experience of the proportion spent with learners. Total contact hours should then be appropriately allocated over the learner population using the experience of the specific staff members involved in the provision. Records will be required to support the assumptions made.

- 22 As with therapy provision, staff time may be allocated to specific learners during certain periods and may not reflect the actual average provision throughout the year. A discussion/assumptions paper to assess this issue should be produced by an appropriate staff member.
- 23 Data to be collected if recording and evidencing a learner's actual provision is:
- medical staff diaries detailing contact time provided for each placement week
  - assumption of percentage of contact time provided by medical staff who have not completed diaries (this needs to identify times where medical staff are undertaking administrative duties)
  - discussion/assumptions paper dealing with allocation of provision over terms.
- 24 Data to be collected if using management assumptions and experience is:
- assumption of percentage of contact time provided by medical staff (this needs to identify times where medical staff are undertaking administrative duties)
  - assumption of percentage weighting of contact time that a learner receives from medical staff (using the learner with average needs as the base, assess the other learners as a percentage above or below this to build up a picture of how to allocate the contact time provided)
  - discussion/assumptions paper dealing with the allocation of provision over terms.
- 25 As with therapy, session content information will not, under any circumstances, be requested by the YPLA as this breaches client confidentiality.

#### **4pm-11pm: evening at home (note that times may vary)**

##### **Residential learners**

- 26 It is viewed that during this time, learners are having their evening meal, undertaking evening activities, getting washed and ready for bed, or socialising, relaxing and so on. Unlike the 'breakfast at home' period (see paragraphs 3-8 of this annex), it is likely that learners may also be attending activities where contact time is being recorded separately, such as extra-curricular activities. Identification of when the learners are at home and which staff members are supporting them is needed. It may be that residential staff have taken some learners out for an evening activity and some learners remain with a reduced staffing provision. These movements of staff and learners should be recorded so the contact hours provided by the residential staff to the learner population in a specific house for this period of time can be calculated.
- 27 As with the 'breakfast at home' period, the most straightforward way of getting an accurate picture of the contact time provided to these learners is to identify areas of exception (such as one-to-one contact time) which can be directly attributed to a learner. The difference is that there will also be the removal of staff time due to their providing extra-curricular activities and the removal of learners for set times due to their attending such activities. The remaining contact time provided by the staff will be apportioned over the specific house's entire learner population using an agreed method. The method of apportionment should be discussed with an appropriately experienced staff member (such as the house manager) to ensure that the method is a fair reflection of the actual provision provided.

- 28 As the nature of residential support can vary significantly from week to week for each learner, it is advisable that the exceptions are a fair reflection of a typical week and the average over the entire year.
- 29 Data to be collected is:
- house lists
  - residential staff rotas for each placement week
  - assumption of the percentage of contact time provided by residential staff (this needs to identify times where residential staff are undertaking administrative duties)
  - list of exceptions agreed by the house manager for each day (tasks that may add up over the day to more than 15 minutes and are at a ratio of one staff member to one learner or higher - for example two staff members to one learner). The exceptions should detail learners receiving exceptional support, timings of support (start, finish and duration), type of support and the number of staff providing it
  - list of exceptions agreed by the house manager for each day in respect of learners and staff attending extra-curricular activities. The exceptions should detail the timings and the absences for both the staff and learners and include the reason for the absence.

### **Day learners**

- 30 It is assumed that day learners do not receive any provision during the evenings from residential staff. If this is not the case, house managers should record the provision provided by their staff to day learners to ensure an accurate assessment of hours is compiled, and the appropriate funding band recorded.

### **4pm onwards: extra-curricular and other activities**

#### **Day or residential learners**

- 31 Evidence should be obtained for each week of the placement to support any activities provided to the learners after 4pm. The evidence should be collected by the activity leader and must include the learners attending the activity, the timings of the activity and staff members providing the activity. Any one-to-one contact time provided to specific learners should also be detailed.
- 32 Data to be collected is:
- activity records detailing time of activity and staff and learners present for each placement week
  - list of exceptions such as one-to-one contact time provided to specific learners.

### **Weekends**

- 33 With the exclusion of day learners, support bands are calculated on the basis of a seven-day residency.

#### **Residential learners**

- 34 It is assumed that only the residential staff will provide contact time at the weekends. The same method as 'breakfast at home' (paragraphs 3-8 of this annex) and 'evening at home' (paragraphs 26-30 of this annex) should be used to identify the contact hours provision for each learner. It has been assumed that staffing levels are required to be maintained for full house provision even if learners are away for the weekend and therefore a dilution of the actual contact hours provided will need to be discussed.

- 35 If an independent specialist provider has a standard weekend policy, for example where learners are expected to return home every third week, then a minimum level of staff would be expected to provide adequate cover for the learners remaining in residence. This would also need to be reflected in any averaging out of support across a 'typical' week for each learner.
- 36 Data to be collected is:
- house lists
  - residential staff rotas for each learner placement week
  - assumption of percentage of contact time provided by residential staff (this needs to identify times where residential staff are undertaking administrative duties that are excluded from contact hours)
  - list of exceptions agreed by the house manager for each day (tasks that may add up over the day to more than 15 minutes and are at a ratio of one staff member to one learner or higher – for example, two staff members to one learner). The exceptions should detail learners receiving exceptional support, timings of support (start, finish and duration), type of support and the number of staff providing it.

### **Day learners**

- 37 It is assumed that day learners do not receive any provision during the weekend. If this is not the case, house managers should record the provision provided by their staff to day learners as an exception.
- 38 All of the above examples provide a method for capturing the contact hours for each of the learners receiving the respective provision of support. The independent specialist provider will also be responsible for interpreting the data so that a final record for each learner can be produced in which there is a breakdown of learners' weekly contact time over 'education and independent living skills' and 'care and therapy' and also by how the contact hours have been produced. An example of this is provided at Annex 5 - TG ('Summary of Results: Worked Example') of this guidance.



## Annex 5 - TG: Summary of Results: Worked Example

Tracked		Tracked		Management assumption	Management assumption			
One-to-one Exceptions and staff rotas		Session records		Staff contracted hours and assumption paper	Staff contracted hours and assumption paper			
<i>Residential time</i> Education and independent living skills	Care and therapy	<i>Educational time</i> Education and independent living skills	Care and therapy	<i>Therapy time</i> Care and therapy	<i>Medical time</i> Care and therapy	<i>Total contact hours</i> Education and independent living skills	<i>Total contact hours</i> Care and therapy	TOTAL
3	8	12	4	4	2	15	18	33
2	14	14	6	6	6	16	32	48
0	0	12	0	4	2	12	6	18



# Annex 6 - TG: Confirmation of Agreed Provision 2012/13

## Confidential

- 1 This annex is to be completed by the independent specialist provider and the learner's home local authority to enable the YPLA to raise an individual learner schedule.
- 2 This annex should include **all** contact hours delivered to the learner, including exceptional funding hours if applicable (which will also be recorded separately on the Annex 7 – TG).

### Note for independent specialist providers

The independent specialist provider is required to complete: sections 1.1 to 1.8, section 2.0, section 4.0, section 5.0 and sections 6.1 to 6.4 and to submit the completed form to the learner's home local authority. The completion of this annex by the independent specialist provider is a contractual requirement (schedule 2, clause 1.1). This form must be submitted in accordance with YPLA data transmission and encryption policies as detailed at paragraphs 42-44 of this document. **It is the responsibility of the independent specialist provider to ensure that the learner's home local authority has received the documentation.**

### Note for local authorities

The local authority is required to complete: sections 1.9 to 1.13, section 3 and sections 6.5 to 6.8 and to return the completed form to the relevant YPLA territory to ensure that agreed placements can be entered on the YPLA system, to trigger payment to the independent specialist provider. The information contained within the annex will be used by the YPLA to raise an individual learner schedule that is an auditable document and forms part of the contract between the YPLA and the independent specialist provider.

## 1.0 Learner details

1.1 Learner's name ( <i>please print</i> ):		
1.2 Date of birth:	/	/
1.3 Address and postcode:		
1.4 Nature of disability and/or learning difficulty:	Acquired brain injury	<input type="checkbox"/>
	Autistic spectrum disorder	<input type="checkbox"/>
	Communication difficulty	<input type="checkbox"/>
	Emotional/behavioural disorder	<input type="checkbox"/>
	Epilepsy	<input type="checkbox"/>
	Hearing impairment	<input type="checkbox"/>
	Medical condition	<input type="checkbox"/>
	Mobility difficulty (non-wheelchair user)	<input type="checkbox"/>
	Mobility difficulty (wheelchair user)	<input type="checkbox"/>
	Moderate learning difficulty	<input type="checkbox"/>
Profound and multiple learning difficulty	<input type="checkbox"/>	
Severe learning difficulty	<input type="checkbox"/>	
Visual impairment	<input type="checkbox"/>	
1.5 Other ( <i>please give details</i> ):		

1.6 Further comments on disability ( <i>please give details</i> ):			
1.7 Ethnicity code ( <i>insert appropriate code from the list at the end of this annex</i> ):			
1.8 Gender			
1.9 Parent or carer name:			
1.10 Address and postcode ( <i>if different from above</i> ):			
1.11 Current or most recent provider (prior status):	Long-term care	<input type="checkbox"/>	
	Mainstream education	<input type="checkbox"/>	
	Specialist college	<input type="checkbox"/>	
	Specialist school	<input type="checkbox"/>	
	Unemployed	<input type="checkbox"/>	
	Employed	<input type="checkbox"/>	
	Other	<input type="checkbox"/>	
	Not known/not provided	<input type="checkbox"/>	
1.12 Learner's highest educational achievement to date (prior attainment level):	Entry Level	<input type="checkbox"/>	
	Other qualification below Level 1	<input type="checkbox"/>	
	Level 1	<input type="checkbox"/>	
	Level 2	<input type="checkbox"/>	
	Level 3	<input type="checkbox"/>	
	Level 4	<input type="checkbox"/>	
	Level 5	<input type="checkbox"/>	
	Other qualification level not known	<input type="checkbox"/>	
	Not known	<input type="checkbox"/>	
No qualifications	<input type="checkbox"/>		
1.13 Statement of special educational needs:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Unknown <input type="checkbox"/>
1.14 Learner Difficulty Assessment	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Unknown <input type="checkbox"/>

## 2.0 Independent specialist provider details

2.1 Name of provider ( <i>please print</i> ):	
2.2 Address and postcode:	
2.3 Contact name:	

2.4 Telephone number:			
2.5 Email address:			
2.6 Type of placement (please tick):	Day <input type="checkbox"/>	Residential <input type="checkbox"/>	
	New Learner <input type="checkbox"/>	Continuing learner <input type="checkbox"/>	
	Mainstream sub-contacting* <input type="checkbox"/>		
* Name of subcontracted provider(s)			
2.7 Programme start date:	/	/	
2.8 Programme end date:	/	/	
<b>Funding will be agreed on an annual basis</b>			

### 3.0 Other Agency funding

3.1 Amount agreed:	
3.2 Academic year:	
3.3 Agency providing contribution:	
3.4 Contact name ( <i>please print</i> ):	
3.5 Telephone number:	

#### 4.0 Proposed programme details (including proposals for delivery by another provider)

Accredited (Yes/No)	Programme	Awarding Body	Level	Start date	Expected end date	Learning aim reference (LAR)

## 5.0 Rationale

**Note:** To include **all** contact hours including exceptional funding hours if applicable.

<b>Tuition/independent living skills</b>	
Total number of weekly hours	
<b>Activity</b>	<b>Number of hours per week required</b> <i>(Please state the number of hours required for each tuition/ independent living skills activity.)</i>
Education enabler (including tutorial support and teaching assistant):	
Education delivery (tutor):	
Independence:	
Delivery of social, creative and leisure activities:	
Other <i>(please give details)</i> :	
Any other supporting comments:	
<b>Care and therapy</b>	
Total number of weekly hours	
<b>Type of therapy or care</b>	<b>Number of hours per week required</b> <i>(Please state the number of hours required for each type of therapy or care.)</i>
Support from doctor or other medical specialist:	
Nursing support:	
Personal care:	
Support with personal activities of daily living skills:	
Physiotherapy:	
Counselling:	
Emotional support:	
Behavioural support:	
Speech and language therapy:	
Hydrotherapy:	
Intervention for learner safety:	
Other <i>(please give details)</i> :	
Any other supporting comments:	
<b>Equipment</b>	
Please outline the learner's equipment needs, detailing for which items funding is sought <i>(please use separate sheet if necessary)</i> :	
<input type="checkbox"/> Alternative equipment options have been fully explored as detailed at paragraph 86 of this guidance <i>(please tick)</i>	

Summary	
Total number of hours per week:	
Number of weeks to receive YPLA funding (maximum 38 weeks)	
Funding band:	

#### Guidance note

Where independent specialist providers believe that a learner's support needs are **exceptional**, and beyond those accommodated in support band H, they should approach the learner's home local authority **prior to offering a place to the learner**, to discuss the case. Evidence will be required to demonstrate the learner's exceptional support needs, rather than simply being a justification based on cost.

#### 6.0 Contact details

##### Independent specialist provider

6.1 Signed:

6.2 Name (*please print*):

6.3 Date: / /

6.4 Position:

##### Learner's home local authority

6.5 Signed:

6.6 Name (*please print*):

6.7 Date: / /

6.8 Position:

#### Ethnicity codes for section 2.0

11	Asian or Asian British – Bangladeshi
12	Asian or Asian British – Indian
13	Asian or Asian British – Pakistani
14	Asian or Asian British – any other Asian background
15	Black or Black British – African
16	Black or Black British – Caribbean
17	Black or Black British – any other Black background
18	Chinese
19	Mixed – White and Asian
20	Mixed – White and Black African
21	Mixed – White and Black Caribbean
22	Mixed – any other mixed background
23	White – British
24	White – Irish
25	White – any other White background
98	Any other
99	Not known/not provided

Source: Individualised learner record

## Annex 7 - TG: Exceptional Funding Request Summary Form

### New referrals

- 1 Where independent specialist providers believe that the tuition, independent living , care and therapy support needs of potential learners are exceptional and exceed the maximum average weekly hours provided at Annex 1 - TG ('Contact Hour Ranges') of this guidance, they must ensure that sufficient information is provided at the earliest opportunity to the learner's home local authority as per the local authority's procedures to facilitate and record the placement decision and process.
- 2 Evidence will be required by the local authority to justify the learner's exceptional needs and to show that the costs are justifiable. For this reason, independent specialist providers requesting exceptional funding are asked to complete the form at Table 7.1 (titled 'Justification of application for exceptional funding') in this annex.

### Existing learners

- 3 Within the learner review process, independent specialist providers may identify that the learner's support needs have changed, and thus a request to revise funding levels may be necessary, as falling above those described within the funding methodology.
- 4 In these circumstances it is **expected** that any request to change funding levels (including those for learners currently funded on exceptional funding levels) will be supported by an amended rationale (Annex 6 - TG) ('Confirmation of Agreed Provision 2012/13')) and an amended Table 7.1 from Annex 7 - TG in this document and forwarded to the learner's home local authority, with the appropriate review report and any other relevant evidence.

### In-year changes to funding levels

- 5 Requests to change a learner's level of funding in-year (that is, at any time other than through the review process) will only be considered in exceptional circumstances as detailed in paragraph 32 of this guidance. In these circumstances, it is expected that any request to change funding levels (including those for learners currently funded on exceptional funding levels) must be supported by an amended rationale (Annex 6 - TG: Confirmation of Agreed Provision 2012/13) and an amended Table 7.1 from Annex 7 - TG ('Exceptional Funding Request Summary Form') in this document and forwarded to the learner's home local authority, with the appropriate review report and any other relevant evidence. All review reports and supporting information, including information relating to in-year changes, must be received by the local authority no later than four weeks after their completion and must have been discussed and agreed in advance with the learner's home local authority.

### Data and information transmission

- 6 Table 7.1 in this annex and supporting evidence must be submitted in accordance with local authorities' data transmission and encryption policies and as detailed at paragraphs 42-44 of this guidance.
- 7 It is the responsibility of the independent specialist provider to ensure that the learner's home local authority has received the documentation.

## Exceptional Funding Request Form (Annex 7 – TG)

### Confidential

#### 1. Learner details

Learner's name (*please print*):

Independent specialist provider:

Date of birth: / /

Proposed placement start date: / /

Proposed placement end date: / /

Learner's home local authority:

#### Table 7.1: Justification of application for exceptional funding

This table must only include exceptional elements of education and support i.e. those in excess of the funding limits (Band H). It would be expected that the exceptional funding elements and associated costs detailed, are proportionate to those recorded in Annex 6 – TG and not just reflect one element of delivery i.e. independent living skills.

<b>Education and Independent Living Skills</b>				
Description of staff type	Staff cost per hour	One-to-one equivalent hours per week	One-to-one equivalent hours per year	Total cost per year
Include details of unpaid volunteers where applicable				
Total cost of tuition and independent living skills				£
<b>Care &amp; Therapy and/or Medical</b>				
Description of staff type	Staff cost per hour	One-to-one equivalent hours per week	One-to-one equivalent hours per year	Total cost per year
Include details of unpaid volunteers where applicable				
Total cost of care and therapy				£



Equipment						
Description of equipment	Is the equipment for care and therapy?	Is the equipment for independent living?	Is the equipment the learner's own equipment?	Is the equipment part- or fully funded from another agency (see below*)?		Exceptional costs requiring YPLA funding
				Yes	No	
				<input type="checkbox"/>	<input type="checkbox"/>	
				<input type="checkbox"/>	<input type="checkbox"/>	
				<input type="checkbox"/>	<input type="checkbox"/>	
				<input type="checkbox"/>	<input type="checkbox"/>	

Total cost of equipment (YPLA funded)	£	£
Total cost equipment (other agency funded)	£	£
Total exceptional funding costs (YPLA funded)	£	£

\* Please provide further information on equipment that is part or fully funded by another agency in support of your application.

Completed by (*please print name*):

Position: \_\_\_\_\_ Date:     /     /

Telephone number: \_\_\_\_\_

**Please return this form to the relevant contact at the learner's home local authority.**

# Annex 8 – TG: Withdrawal Notification for YPLA-funded Learners at Independent Specialist Providers

- 1 The form in this annex must be completed when a learner withdraws or is withdrawn from his or her placement and if the learner has completed the agreed programme earlier than planned. It should be completed in accordance with the independent specialist providers contractual obligations (schedule 2, clause 5 and schedule 3, clauses 6 and 7) and as detailed at paragraphs 12-15 of this guidance. This form must be submitted in accordance with local authority data transmission and encryption policies as detailed at paragraphs 42-44 of this guidance. It is the responsibility of the independent specialist provider to ensure that the learner's home local authority has received the documentation.

## Withdrawal Notification for YPLA-funded Learners at Independent Specialist Providers Form

### Confidential

For completion by the principal/proprietor/owner of the independent specialist provider.

Name of independent specialist provider (*please print*):

Learner's name:

Date of birth: / /

Placement start date: / /

Agreed funding end date: / /

Last date of attendance: / /

Withdrawal date: / /

Reason for withdrawal (*please insert appropriate code from the list at the end of this annex*):

Details of withdrawal (*please include all relevant information, for example dates, times, action taken and links to any serious incidents*):

If an other service eg social care has been involved, please provide further details:

## Declaration

I am aware of YPLA's policy regarding recovery of fees in accordance with the YPLA's education and training contract with independent specialist providers.

Name (*please print*):

---

Principal/proprietor/owner:

---

Signed:

---

Date:

/ /

---

Please return the original to the relevant contact at the learner's home local authority.

## Learner withdrawal codes

The code corresponding to the reason for withdrawal should be taken from the following list and entered on the form in the box provided.

- A Alternative provision found
- B Learner no longer wishes to attend
- C Learner deceased
- D Learner failed to start
- E Learner unable to stay through injury
- F Learner found employment
- G Learner absent without leave
- H Learner excluded
- I Learner unable to stay through illness
- J Learner unhappy
- K Other
- L Early completion

## Review reports

All withdrawal forms should be accompanied by a final review report for the learner.

## Serious incidents

Where a withdrawal has taken place as a result of a serious incident, please note that this **must** be reported separately to the YPLA Contract Manager and the learner's home local authority within 72 hours of the incident being made known to the independent specialist provider (in accordance with YPLA's education and training contract, schedule 3, clauses 6 and 7) with independent specialist providers).

## Learner fatality

When a withdrawal is due to learner fatality, the independent specialist provider must inform the learner's home local authority and the YPLA at the earliest opportunity and complete a serious incident notification in line with health and safety guidance.

## Funding

Please note that notification of learner withdrawals is a contractual requirement (schedule 2, clause 5).

## Annex 9 - TG: Request for Placement Extension 2012/13

- 1 It is expected that requests to extend an individual learner placement beyond the duration of the original programme end date would only be agreed under exceptional circumstances.
- 2 This form is to be completed by the independent specialist provider and submitted to the learner's home local authority no later than the end of the penultimate term of the academic year in which the learner's existing placement ends. This form must be submitted in accordance with local authority data transmission and encryption policies as detailed at paragraphs 42-44 of this guidance
- 3 It is the responsibility of the independent specialist provider to ensure that the learner's home local authority has received the documentation.

### Request for Placement Extension 2012/13 Form

#### Confidential

#### 1. Independent specialist provider details

Name (*please print*):

---

Address and postcode:

---

Contact name:

---

Telephone number:

---

Email address:

---

#### 2. Learner details

Learner's name (*please print*):

---

Date of birth:

/ /

---

Details of any **changes** to the learner's personal details since the original placement request was considered:

Details of the learner's learning difficulty and/or disability **if this has changed** since the original placement request was considered:

Rationale for extension:

--

Current funding band:

Is the current placement (*please tick one*) Day?  Residential?

Will the extended placement continue at the current level of support? (*please tick one*) Yes  No

If not, the independent specialist provider must complete a new rationale of support form (see Annex 6 – TG ('Confirmation of Agreed Provision 2012/13')).

### 3. Programme(s) information

Independent specialist provider name (*please print*):

Original programme start date: / /

Programme end date: / /

Achievement or qualification gained, or progress made to date (please provide details against all programmes listed on the individual learner schedule and any objectives outlined within the learner's individual learning schedule):

--

### 4. Proposed extension

Start date: / /

End date: / /

Is the current placement (*please tick one*) Day?  Residential?

Proposed funding band:

Details of the programme aims or qualification aims for the extension request. Please demonstrate how these will contribute to the learner's long-term career, vocational or educational objectives and transition planning:

Programme aims/qualification aims	Learning aim reference

Will any aspect of the learner's provision be delivered off-site at another provider (for example a general further education college) *(please tick one)*?

Yes

No

If yes, please complete the following section.

Provider name *(please print)*:

Contact name *(please print)*:

Telephone number:

Programme to be completed:

How many days each week will the learner attend this provider?

### **To be completed by all providers**

What alternatives were considered for the learner at the end of his or her current placement, other than the extension now sought? This should include the consideration of alternative provision, employment and semi- or independent living arrangements. The evidence should include review reports detailing transition planning.

### **5. Funding information**

If the extension is supported, the placement will be funded within the YPLA's agreed fees for a maximum of 38 weeks.

Where another funding body is contributing towards the current placement, please detail any agreements for funding the extension request, including whether the agreement is definite or provisional:

## 6. Agreements

Please indicate whether the extension request has the support of the following (*please tick all that apply*):

	Yes	No	Not relevant
The learner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Family/carer/advocate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Connexions/careers advisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Social care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Health authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Other (*if yes, please give details*)

Where the answer is 'no' or 'not relevant', please give details:

## 7. Additional documentation

Please indicate which of the following documents are attached (*please tick all that apply*):

Most recent care plan or other relevant social care documentation	<input type="checkbox"/>	Most recent educational psychologist's report	<input type="checkbox"/>
Most recent medical report	<input type="checkbox"/>	Most recent link course report	<input type="checkbox"/>
Letter to confirm funding from social care, health or other agency	<input type="checkbox"/>	Review report	<input type="checkbox"/>

Other (*please list and label*):

## 8. Signature

**The form should be signed by a senior authorised officer from the referring agency.**

I confirm that this extension request has the support of the referring agency.

Signature:

---

Name (*please print*):

---

Position:

---

Date:

/ /

---

**Please return this form to the relevant learner's home local authority.**

# Annex 10 - TG: Record of Learner Destination

## Confidential

1 This annex is to be completed by the independent specialist provider and returned to the YPLA Territory Contract Manager within four weeks of the learner's leaving date..

### 1. Independent specialist provider details

Name *(please print)*:

---

### 2. Learner details

Learner's name:

---

Date of birth: / /

---

### 3. Destination

Has the learner had access to independent careers advice? Yes  No

If yes, was this via the learner's home local authority or the independent specialist providers' local authority Home  Local

Give details of the learner's destination on completing the programme by ticking the appropriate box below:

#### Education or employment

Another further education provider *(please state which)*

A higher education provider *(please state which)*

Employment *(please give details)*

Work-based *(please give details)*

Other *(please give details)*



**Social or residential**

Day care

Long-term residential placement

Learner returning home

Independent living

Supported independent living

Other (*please give details*)

**4. Signature of principal/owner/proprietor of independent specialist provider**

Name (*signature*):

(*print name*):

---

Date:                                  /                  /

---

**Please return this form to the YPLA Territory Contact Manager within four weeks of the learner's leaving date.**

## **Annex 11 - TG: References**

LSC (2006) *Funding Assets for Other Organisations*, Coventry: LSC. Available at <http://readingroom.lsc.gov.uk/LSC/2006/ourbusiness/governance/nat-fundingassetsforotherorganisations-gn-feb2006-v1.0.pdf>

YPLA (2011) *Placement Information: Learners with Learning Difficulties and/or Disabilities at Independent Specialist Providers 2012/13*, Coventry: YPLA.

Young People's Learning Agency  
Cheylesmore House  
Quinton Road  
Coventry  
CV1 2WT  
0845 337 2000  
[www.ypla.gov.uk](http://www.ypla.gov.uk)

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