



Skills Funding
Agency

Funding Claims 2013/2014

Version 2

Of interest to providers and employers



European Union
European Social Fund
Investing in jobs and skills

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Introduction

This document sets out the process for making funding claims for the 2013/2014 funding year. This document applies to colleges and training organisations:

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

Please read this document alongside the [Funding Rules 2013/2014](#) and the [Performance Management Rules 2013/2014](#).

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

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

Adult Skills Budget Funding Claims

1. If you are funded through a Financial Memorandum or Conditions of Funding (Grant) you must make funding claims for delivery from your Adult Skills Budget (ASB delivery).
 - 5.1. 19 to 23 Apprenticeships;
 - 5.2. 24+ Apprenticeships;
 - 5.3. 19+ Apprenticeship learner support;
 - 5.4. workplace learning;
 - 5.5. classroom learning; and
 - 5.6. learning support.
2. You must make three funding claims:
 - 2.1. a mid-year funding claim;
 - 2.2. a year-end funding claim; and
 - 2.3. a final funding claim.

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

3. There is a copy of the relevant claim form in annex B. We will publish this form in Microsoft Excel (compatible with versions 2003 and 2007) on [our website](#).
 6. In each of these sections you must provide:
 - 6.1. your actual delivery to date;
 - 6.2. for your mid-year and year-end funding claims, a forecast of any delivery during the remainder of the funding year; and
 - 6.3. any exceptional adjustments.

Filling in the form

4. Choose the type of funding claim and your organisation's name from the drop-down menus at the top of the form.
5. Fill in all sections highlighted yellow. The form automatically adds up your ASB delivery on:
 7. You must use your Provider Funding Report to work out your actual delivery. This report will include any funding you have earned through validated Individualised Learner Records (ILRs) you have provided and any funding you have claimed through the Earnings Adjustment Statement (EAS).

8. We cannot accept your claim if the figures do not match the delivery from the ILR and the EAS.
9. The claim form contains instructions showing which lines from the Provider Funding Report and the EAS you must use for the claim.
10. You do not need to provide any supporting evidence with your funding claim form.
11. You must provide realistic forecasts in your mid-year and year-end funding claims.
12. If your auditor has told you that you must make an adjustment to your funding claim as a result of an audit, you must make the agreed adjustment using the EAS. You must not make the adjustment in the claim form.
13. In exceptional circumstances you may need to make an adjustment (an exceptional adjustment) to your funding claim. You must have formal approval from us before you enter any exceptional adjustments in your claim form.
14. In every funding claim you make you must fill in your name and position, and the date, in the boxes at the bottom of the form.
15. You must email your form to the email address at the bottom of the form. (If you have enabled macros in Microsoft Excel, you will be able to click the 'Email the form' button to send an email to the correct email address with your form attached.)
16. When you make your final funding claim you must also send us a signed paper copy of the funding claim form. An authorised person must sign the claim form on behalf of your organisation. For colleges, this must be the principal. The address to send your form to is at the bottom of the funding claim form.
17. If you do not send us your funding claim forms by the deadlines set out in annex A, we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the 2013/2014 funding year.
18. We have previously told you that the provision of English for Speakers of Other Languages (ESOL) for learners who do not use English as their first language will be protected under the new funding system while a new curriculum is developed. If you deliver ESOL and we have evidence that your ESOL earnings are lower than they were in the 2012/2013 funding

Protecting provision for English for Speakers of Other Languages

We will work out your average ESOL earnings by dividing the total value of your earnings from ESOL learners by the total number of ESOL learners you have. We will tell you the difference between your average ESOL earnings in the 2012/2013 funding year and your average ESOL earnings in the 2013/2014 funding year.

year, we will work out and tell you the difference in your average ESOL earnings as a ratio. We will base this on information you provide in your ILRs by the deadlines in December 2013, February 2014, June 2014 and September 2014. (There is a full list of ILR deadlines in annex A of the Specification of the ILR for the 2013/2014 funding year, which is on [our website](#)).

19. You can use this information to make your mid-year funding claim and year-end funding claim. In the forecasts you provide in your mid-year and year-end funding claims you must include any forecast earnings you work out using the ratio.
20. For your final funding claim, we will use information in the validated ILRs you provide by the final deadline in October 2014 to work out any reduction in your average earnings for ESOL provision since the 2012/2013 funding year. We will add this value to the 'exceptional adjustment' column of your final funding claim. Our Central Delivery Service will tell you how much we have added to your final funding claim for ESOL provision.

Funding assurance audit

21. We will appoint audit firms to check that funding claims are accurate.
22. If the appointed auditors choose to audit your claim, we will tell you in the summer of 2014. You must provide a copy of the resulting audit report with your final funding claim.

23. You must make sure that you share all of your funding claims and ILRs with the appointed auditors well in advance so that you can send us the audit report with your final funding claim.

Reconciliation statements

24. After you send us your year-end funding claim we will send you an 'indicative reconciliation statement'. This will give you an indication of the funding you might have to pay back to us.
25. We will send you a final reconciliation statement after you make your final funding claim. This will confirm the amount of funding you must pay back to us.
26. If you have to pay amounts back to us, we will schedule those repayments from January 2015.

Exceptional Learning Support

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

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

The requirements for your Discretionary Learner Support funding claims have been updated to include requirements for 24+ Advanced Learning Loans Bursary funding claims.

If you are funded through a Financial Memorandum or Conditions of Funding (Grant) you must follow the rules set out under 'Providers funded through a grant' (paragraphs 29 to 44).

If you are funded through a Contract for Services or Conditions of Funding (Grant) – Employer you must follow the rules set out under 'Providers funded through a contract' (paragraphs 45 to 58).

Providers funded through a grant

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

- 29.1. a mid-year funding claim; and
- 29.2. a final funding claim.

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

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

Filling in the form

- 31. You must choose the type of funding claim and your organisation's name from the drop-down menus at the top of the form.
- 32. You must fill in all sections highlighted yellow. The form automatically adds up your spending from your Discretionary Learner Support funding allocation, and your Loans Bursary funding allocation, on the following.

Discretionary Learner Support

- 32.1. 19+ Hardship
- 32.2. 20+ Childcare
- 32.3. Residential Access Fund
- 32.4. Administration expenditure

Loans Bursary

- 32.5. Bursary funding
 - 32.6. Hardship
 - 32.7. Childcare
 - 32.8. Residential Access Fund
 - 32.9. Area costs
 - 32.10. Exceptional claims
 - 32.11. Administration costs
33. In each of these sections you must provide:
- 33.1. your actual delivery to date; and
 - 33.2. for your mid-year funding claim, a forecast of any delivery during the remainder of the funding year.
34. You must use your Provider Funding Report to work out your actual delivery in Loans Bursary funding, area costs and exceptional Learning Support claims. This report will include any funding you have earned through validated ILRs you

have provided and any funding you have claimed through the EAS. We cannot accept your claim if the Loans Bursary funding, area costs and exceptional Learning Support figures do not match the delivery shown in the ILR and the EAS.

- 35. The claim form contains instructions showing which lines from the Provider Funding Report and the EAS you must use for the claim.
- 36. The forecast you provide in your mid-year funding claim must be realistic.
- 37. You can use up to 5% of your Discretionary Learner Support funding allocation on administration costs. You must declare this in your funding claims (box D in the funding claim form).
- 38. You can claim administration costs from your Loans Bursary allocation. You can use up to 5% of your Loans Bursary funding allocation on administration costs. Your administration costs must not be greater than 5% of the value of Loans Bursary funding that you have spent on Discretionary Learner Support activity (Loans - Hardship, Loans - Childcare, Loans - Residential Access Fund). You must declare administration costs in your funding claims (box K in the funding claim form).
- 39. In every funding claim you make you must fill in your name and position, and the date, in the boxes at the bottom of the form.

40. You must email your form to the email address at the bottom of the form. (If you have enabled macros in Microsoft Excel, you will be able to click the 'Email the form' button to send an email to the correct email address with your form attached.)

41. When you make your final funding claim you must also send us a signed paper copy of the funding claim form. An authorised person must sign the claim form on behalf of your organisation. The address to send your form to will be shown on the bottom of the funding claim form.

42. If you do not send us your funding claim forms by the deadlines set out in annex A, we will record a 'nil return' and you will have to pay back all of the funding you have received from us in the 2013/2014 funding year.

Reconciliation statements

43. After you send us your final funding claim we will send you a reconciliation statement. This will confirm the amount of funding you must pay back to us.

44. If you have to pay amounts back to us, we will schedule those repayments from January 2015.

Providers funded through a contract

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

45.1. a mid-year funding claim; and

45.2. a final funding claim.

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

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

Filling in the form

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

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

48.1. 19+ Hardship;

48.2. 20+ Childcare;

48.3. Residential Access Fund; and

48.4. Administration costs.

49. You must not fill in any of the sections for 24+ Advanced Learning Loans Bursary.

50. In each section you fill in you must provide:

50.1. your actual delivery to date; and

- 50.2. for your mid-year funding claim, a forecast of any delivery during the remainder of the funding year.
51. The forecast you provide in your mid-year funding claim must be realistic.
52. You can use up to 5% of your total Discretionary Learner Support funding allocation on administration costs. You must declare this in your funding claims.
53. In every funding claim you make you must fill in your name and position, and the date, in the boxes at the bottom of the form.
54. You must email your form to the email address at the bottom of the form. (If you have enabled macros in Microsoft Excel, you will be able to click the 'Email the form' button to send an email to the correct email address with your form attached.)
55. When you make your final funding claim you must also send us a signed paper copy of the funding claim form. An authorised person must sign the claim form on behalf of your organisation. The address to send your form to is at the bottom of the funding claim form.
56. If you do not send us your funding claim forms by the deadlines set out in annex A, we will record a 'nil return' and you will have to pay back all of the funding you have received from us in the 2013/2014 funding year.

Reconciliation statements

57. After you send us your final funding claim we will send you a reconciliation statement. This will confirm the amount of funding you must pay back to us.
58. If you have to pay amounts back to us, we will schedule those repayments from January 2015.

Community Learning Funding Claims

59. If you have a Community Learning funding allocation, you must make a final funding claim by the deadline set out in annex A.
60. There is a copy of the relevant claim form in annex B. We will publish this form in Microsoft Excel (compatible with versions 2003 and 2007) on [our website](#).
61. You must choose your organisation's name from the drop-down menu at the top of the form.
62. You must fill in all sections highlighted yellow.
63. You must fill in your name and position, and the date, in the boxes at the bottom of the form.
64. You must email your form to the email address at the bottom of the form. (If you have enabled macros in Microsoft Excel, you will be able to click the button that will create an email to the correct email address with your form attached.)
65. You must also send us a signed paper copy of the funding claim form. The claim form must be signed by an authorised person on behalf of your organisation. The address to send your form to is at the bottom of the funding claim form.
66. If you do not send us your funding claim form by the deadline set out in annex A, we will record a 'nil return' and you will have to pay back all of the funding you have received from us in the 2013/2014 funding year.
67. We will issue a reconciliation statement after you submit your final funding claim. This will confirm the amount of funding you must pay back to us.
68. If you have to pay amounts back to us, we will schedule those repayments from January 2015.

Annex A: Deadlines for funding claims

Funding	Funding Claim	Deadline to provide Individualised Learner Records	Deadline to send funding claim forms
Adult Skills Budget	Mid-year funding claim	6 February 2014	10 February 2014
	Year-end funding claim	15 September 2014	17 September 2014
	Final funding claim (with audit report where necessary)	24 October 2014	28 October 2014
Discretionary Learner Support and 24+ Advanced Learning Loans Bursary	Mid-year funding claim	6 February 2014	10 February 2014
	Final funding claim	24 October 2014	28 October 2014
Community Learning	Final funding claim	24 October 2014	28 October 2014

Annex B: Funding claim forms



Adult Skills Budget funding claim

Provider name	
UKPRN	

Read the Funding Rules 2013/2014, Performance Management Rules 2013/2014 and Funding Claims 2013/2014 before filling in this form.

		Delivery to date	Forecasted delivery for the rest of the funding year	Exceptional adjustments not included in Individualised Learner Records or Earnings Adjustment Statement	Total delivery for the 2013/2014 funding year
A	19-23 Apprenticeship – programme funding				£0
B	19-23 Apprenticeship – Learning support				£0
C	24+ Apprenticeship – programme funding				£0
D	24+ Apprenticeship – Learning support				£0
E	19+ Apprenticeship – Learner support				£0
F	Workplace learning – programme funding				£0
G	Workplace learning – Learning support				£0
H	Classroom learning – programme funding				£0
I	Classroom learning – Learning support				£0
J	Total Adult Skills Budget delivery	£0	£0	£0	£0

Declaration

As far as I know and believe this funding claim is complete and accurate, and keeps to the Funding Rules 2013/2014 and the Performance Management Rules 2013/2014.

Name of person signing	
Position in organisation	
Signature	
Date	

Email this filled in form to:



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

Provider name	
UKPRN	

Read the Funding Rules 2013/2014, Performance Management Rules 2013/2014 and Funding Claims 2013/2014 before filling in this form.

		Actual spending to date	Forecasted spending for the rest of the funding year	Total spending for the 2013/2014 funding year
A	Discretionary Learner Support – 19+ Hardship			£0
B	Discretionary Learner Support – 20+ Childcare			£0
C	Discretionary Learner Support – Residential Access Fund			£0
D	Discretionary Learner Support – Administration costs			£0
E	Loans – Bursary Funding			£0
F	Loans – Hardship			£0
G	Loans – Childcare			£0
H	Loans – Residential Access Fund			£0
I	Loans – Area costs			£0
J	Loans – Exceptional claims			£0
K	Loans – Administration costs			£0
L	Total Discretionary Learner Support and Loans Bursary expenditure	£0	£0	£0

Declaration

As far as I know and believe this funding claim is complete and accurate, and keeps to the Funding Rules 2013/2014 and the Performance Management Rules 2013/2014.

Name of person signing	
Position in organisation	
Signature	
Date	

Email this filled in form to:

Email the form



Skills Funding Agency

Final funding claim

Community Learning funding claim

Provider name	
UKPRN	

Read the Funding Rules 2013/2014, Performance Management Rules 2013/2014 and Funding Claims 2013/2014 before filling in this form.

Total spending funded during the 2013/2014 funding year.

A	Community Learning programme funding	
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Declaration

As far as I know and believe this funding claim is complete and accurate, and keeps to the Funding Rules 2013/2014 and the Performance Management Rules 2013/2014.

Name of person signing	
Position in organisation	
Signature	
Date	

Email this filled in form to:

Return address for funding claim

Email the form



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