



Skills Funding
Agency

Funding Claims 2015 to 2016

This document is a guidance for those providers that are required to submit a funding claim for the year 2015 to 2016.

Version 2

Of interest to grant funded providers and training providers that have Discretionary Learner Support and or Community Learning funding.

August 2016

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Introduction

This document sets out the process for making funding claims for the funding year 2015 to 2016 and applies to colleges and training providers:

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

Please read this document alongside the [Funding Rules 2015 to 2016](#) and the [Performance Management Rules 2015 to 2016](#).

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

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

Summary of Changes

These are the changes to the Funding Claims 2015 to 2016 version 2. You must read the main document and annexes for full details.

| |
|---|
| Final reconciliation |
| If a provider due to an exceptional circumstance has an issue with their final reconciliation value then this must be communicated to the SFA by 31, January 2017 for consideration. We will not consider any requests after this date. |

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).
 - a. A mid-year funding claim.
 - b. A year-end funding claim.
 - c. A final funding claim and statement of funding claimed.
2. You must make three funding claims:
 - a. 19 to 23 apprenticeships - programme funding
 - b. 19 to 23 apprenticeships - learning support
 - c. 24+ apprenticeships - programme funding
 - d. 24+ apprenticeships - learning support
 - e. 19+ apprenticeships - learner support
 - f. 19 to 23 apprenticeship trailblazers - programme funding
 - g. 19 to 23 apprenticeship trailblazers - learning support
 - h. 24+ apprenticeship trailblazers - programme funding
 - i. 24+ apprenticeship trailblazers - learning support
 - j. workplace learning - programme funding
 - k. workplace learning - learning support
 - l. classroom learning - programme funding
 - m. classroom learning - learning support
 - n. 19 to 24 traineeships - programme funding
 - o. 19 to 24 traineeships - learning support
 - p. 19 to 24 traineeships - learner support
3. We are developing a digital funding claim form for you to submit your funding claim. The form will become available to you after the close of the relevant Individualised Learner Records (ILRs) submission window.
4. Your **ASB funding claim** will show relevant sections for you out of:
 - a. 19 to 23 apprenticeships - programme funding
 - b. 19 to 23 apprenticeships - learning support
 - c. 24+ apprenticeships - programme funding

Completing your claim on the data collections tab within the Hub

5. The actual delivery-to-date column of your digital funding claim form will be populated using the validated ILR data you have submitted. You will not be able to amend this data.

6. You will have two working days to provide:

a. for your mid-year and year-end funding claims, a forecast of any delivery during the remainder of the funding year

b. any exceptional adjustments

7. You do not need to provide any supporting evidence with your funding claim form.

8. We will publish a technical guidance document giving further information on how to submit your funding claim.

9. You must provide realistic forecasts based on actual and/or expected demand in your mid-year and year-end funding claims.

10. If your auditor tells you that you must make an adjustment to your funding claim as a result of an audit, you must make the agreed adjustment using the Earning Adjustment Statement (EAS). You must only make the adjustment in the claim form where you have been unable to make the agreed adjustment using the EAS.

11. In exceptional circumstances you may need to make an adjustment (an exceptional adjustment) to your funding claim. You must have written approval from us before you enter any exceptional adjustments in your claim form.

Completing statement of funding claimed on the Hub

12. For final funding claims you will have a further three days to sign and submit the statement of funding claimed following submission of your final funding claim. An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

13. Your reconciliation statement will be delayed if you do not submit your final funding claim and statement of funding claimed by the deadline set out in Annex A. This may impact on your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2015 to 2016.

Funding assurance audit

14. We will appoint audit firms to check that funding claims are accurate.

15. If the appointed auditors choose to audit your claim, we will tell you in the summer of 2016. You must provide a copy of the resulting audit report with your final funding claim.

16. 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

17. After you submit your year-end funding claim we will send you an 'indicative reconciliation statement'. This will give you an indication of the funding you may need to pay back to us.
18. We will send you a final reconciliation statement after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may need to pay back to us.
19. If you have to pay amounts back to us, we will schedule those repayments from January 2017.
20. If you have an issue with the final reconciliation value then this must be communicated to the SFA by 31, January 2017. We will not consider any request after this date.

Exceptional Learning Support

21. 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.
22. 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 GOV.UK.

Discretionary Learner Support and Advanced Learner Loans Bursary funding claims

23. For Discretionary Learner Support and Advanced Learner Loans Bursary funding there is a combined claim form for providers to complete, as appropriate.

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

- a. A mid-year funding claim.
- b. A final funding claim and statement of funding claim.

We set out the deadlines for making these claims in Annex A.

Completing your claim on the data collections tab within the Hub

25. We are developing a digital funding claim form which you will use to submit your funding claim. The form will become available to you after the close of the relevant Individualised Learner Records (ILRs) submission window.

26. Your discretionary learner support and advanced learner loans bursary funding claim will show relevant sections for you out of the following.

Discretionary Learner Support

- a. 19+ Hardship.

- b. 20+ Childcare.
- c. Residential Access Fund.
- d. Administration expenditure.

Advanced Learner Loans Bursary

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

27. For Advanced Learner Loans Bursary funding, area costs and exceptional claims, the actual delivery-to-date column of your digital funding claim form will be populated based on the validated ILR data and earning adjustments statements you have submitted. You will not be able to amend this data.

28. For those boxes that are not pre-populated you must provide:

- a. your actual delivery to date
- b. for your mid-year funding claim, a

forecast of any delivery during the remainder of the funding year

29. You will have two working days to provide for your final claim, actual delivery to date for those deliverables that are not populated.
30. You do not need to provide any supporting evidence with your funding claim form.
31. We will publish a technical guidance document giving further information on how to submit your funding claim.
32. The forecast you provide in your mid-year funding claim must be realistic and based on actual and expected demand.
33. You can use up to 5% of your Discretionary Learner Support funding allocation on administration costs.
34. You can claim up to 5% of your Loans Bursary expenditure against Hardship, Childcare and Residential Access Fund on administration costs. However, your administration costs must not be more than 5% of the value of the Loans Bursary funding.

Completing statement of funding claimed on the Hub

35. For final funding claims you will have a further three days to sign and submit the statement of funding claimed. An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

36. Your reconciliation statement will be delayed if you do not submit your final funding claim and statement of funding claimed by the deadline set out in Annex A. This may impact your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2015 to 2016.

Reconciliation statements

37. We will send you a final reconciliation statement after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may be required to pay back to us.
38. If you have to pay amounts back to us, we will schedule those repayments from January 2017.

Providers funded through a contract

39. If you are funded through a contract and have a Discretionary Learner Support funding allocation, you must make two funding claims:
 - a. A mid-year funding claim.
 - b. A final funding claim and statement of funding claimed.

We set out the deadlines for making these claims in Annex A.

Completing claims on the data collections tab within the Hub

40. We are developing a digital funding claim

form which you will use to submit your funding claim. The form will become available to you after the close of the relevant Individualised Learner Records (ILRs) submission window.

41. Your discretionary learner support funding claim will show relevant sections for you out of the following.
 - a. 19+ Hardship.
 - b. 20+ Childcare.
 - c. Residential Access Fund.
 - d. Administration expenditure.
42. You **must not complete** any of the sections for Advanced Learner Loans Bursary.
43. In each section you complete, you must provide:
 - a. your actual delivery to date
 - b. for your mid-year funding claim, a forecast of any delivery during the remainder of the funding year
44. You will have two working days to submit your mid-year funding claim, including your actual delivery to date and any remaining forecast delivery and two working days to submit your final funding claim, including actual delivery date.
45. You do not need to provide any supporting evidence with your funding claim form.
46. We will publish a technical guidance document giving further information on how to submit your funding claim.

47. The forecast you provide in your mid-year funding claim must be realistic.
48. 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.

Completing statement of funding claimed on the Hub

49. For final funding claims you will have a further three days to sign and submit the statement of funding claimed. An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.
50. Your reconciliation statement will be delayed if you do not submit your final funding claim and statement of funding claimed by the deadline we set out in Annex A. This may impact your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2015 to 2016.

Reconciliation statements

51. We will send you a final reconciliation statement after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may be required to pay back to us.
52. If you have to pay amounts back to us, we will schedule those repayments from January 2017.

53. If you have an issue with the final reconciliation value then this must be communicated to the SFA by 31, January 2017. We will not consider any request after this date.

Community Learning funding claims

If you have a Community Learning funding allocation, you must make a final funding claim and statement of funding claimed by the deadline we set out in Annex A.

Completing your claim on the data collections tab within the Hub

- 54. We are developing a digital funding claim form which you will use to submit your funding claim. The form will become available to you after the close of the final funding claim Individualised Learner Records (ILRs) submission window.
- 55. Your community learning funding claim will show the relevant section for you to enter actual delivery to date.
- 56. You will have two working days to provide for your final claim, actual delivery to date.
- 57. We will publish a technical guidance document giving further information on how to submit your funding claim.

Completing statement of funding claimed on the Hub

- 58. For final funding claims you will have a further three days to sign and submit the statement of funding claimed. An authorised person must sign the claim form on behalf of your organisation. For colleges, this can be the principal or another senior post holder who has the delegated authority from the principal to sign the final funding claim.

- 59. Your reconciliation statement will be delayed if you do not send us your final funding claim and statement of funding claimed by the deadline we set out in Annex A. This may impact your ability to submit your final accounts to us. Where you do not send us your final funding claim forms we will record a 'nil return' and you will have to pay back all of the funding you have received from us for delivery in the funding year 2015 to 2016.

Reconciliation statements

- 60. We will send you a final reconciliation statement after you make your final funding claim and statement of funding returned. This will confirm the amount of funding you may be required to pay back to us.
- 61. If you have to pay amounts back to us, we will schedule those repayments from January 2017.
- 62. If you have an issue with the final reconciliation value then this must be communicated to the SFA by 31, January 2017. We will not consider any request after this date.

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 | 4 February 2016 | 8 February 2016 |
| | Year-end funding claim | 14 September 2016 | 16 September 2016 |
| | Final funding claim (with audit report where necessary) | 20 October 2016 | 24 October 2016 |
| Discretionary Learner Support and Advanced Learner Loans Bursary | Mid-year funding claim | 4 February 2016 | 8 February 2016 |
| | Final funding claim | 20 October 2016 | 24 October 2016 |
| Community Learning | Final funding claim | 20 October 2016 | 24 October 2016 |



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