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Education & Skills  
Funding Agency

Guidance

# How to submit a funding claim for 2019 to 2020

Updated 3 October 2019

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## 1. Introduction

This document informs colleges and training providers for which funding streams they are required to submit a funding claim, how to make a claim and the dates for submitting a funding claim for the 2019 to 2020 funding year. This is a contractual requirement for funding streams listed below.

Alongside this information you should read:

[ESFA funded adult education budget \(AEB\): funding and performance management rules 2019 to 2020](#)

[Advanced learner loans funding and performance management rules: 2019 to 2020](#)

[Advice: funding regulations for post-16 provision 2019 to 2020](#)

Colleges and independent learning providers must submit a funding claim for:

- ESFA AEB – Adult Skills and Community Learning – grant-funded
- ESFA AEB - 19-24 Traineeships (procured)
- Advanced Learner Loans Bursary (ALLB) – grant-funded
- ESFA AEB – Adult Skills Learner Support – paid-on-profile (AEB procured)
- 16 to 19 Education

## 2. Deadlines for submitting claims

Funding claim	Deadline to provide individualised learner records (ILR)	Claim form available on Submit Learner Data	Deadline to submit funding claim	Deadline to sign funding claim
Mid-year forecast funding claim	6 February 2020	10 February 2020	13 February 2020	N/A
Year-end forecast funding claim	4 June 2020	8 June 2020	11 June 2020	N/A
Final claim	22 October 2020	26 October 2020	03 November 2020	04 November 2020

Note: You do not need to submit a mid-year forecast funding claim for 16-19 funding. Failure to submit a claim by the due date will be a breach of the funding agreement.

## 3. Where to complete and submit a claim

You must complete and submit your funding claim in the data collections area on [Submit Learner Data](#).

The funding claim form is one working day after the close of the relevant Individualised Learner Records (ILR) and earnings adjustment statement (EAS) submission period.

## 4. Completing a claim

## 4.1 ESFA funded adult education budget (AEB) (non-procured) funding claims

Your AEB funding claim will show relevant sections for you to complete from the following:

- ESFA AEB 19 to 24 Traineeships – programme funding
- ESFA AEB 19 to 24 Traineeships – learning support
- ESFA AEB 19 to 24 Traineeships – learner support
- ESFA AEB 19 to 24 Traineeships – administration expenditure
- ESFA AEB Adult Skills – programme funding
- ESFA AEB Adult Skills – learning support
- ESFA AEB Learner Support – 19+ hardship
- ESFA AEB Learner Support – 20+ childcare
- ESFA AEB Learner Support – residential access funding
- ESFA AEB Learner Support – administration expenditure
- ESFA AEB Adult Skills of which Community Learning

Note: 19-24 traineeship is a ring fenced allocation and reconciled separately.

For all formula funded deliverable lines we will pull through the 'delivery to date' figures on the claim form based on your ILR/EAS data submissions.

For all non-formula funded deliverable lines e.g. community learning, you will need to enter a figure from your own records.

As a provider, you need to fill in the 'forecasted delivery' for each field for the mid-year forecast claim and year-end forecast funding claim for the rest of the year.

In your final funding claim, you only need to agree the figures, as we will use your ILR/EAS to pull through your actual delivery figures. You will still need to enter figures for non-formula funded deliverable lines.

The 'exceptional adjustments' column must only be used to make changes if you've agreed an exceptional adjustment with us beforehand.

As set out in paragraph 224 of [ESFA funded adult education budget \(AEB\): funding and performance management rules 2019 to 2020](#) you must not claim more than 5% of your total Learner Support (including for 19 to 24 traineeships) claim as administration expenditure.

## 4.2 19 to 24 traineeships (procured)

If you have a 19 to 24 traineeships procured allocation, your funding claim will show relevant sections for you to complete from the following:

- ESFA AEB 19 to 24 Traineeships – Learner Support
- ESFA AEB 19 to 24 Traineeships – Administration Expenditure

You must not claim more than 5% of your total 19 to 24 traineeship learner support expenditure claim as administration expenditure.

### **4.3 Advanced Learner Loans Bursary (ALLB) funding claims**

For those providers that are paid on profile for their ALLB allocation they will be required to complete a funding claim. Your ALLB funding claim will show relevant sections for you to complete from the following:

- Bursary Funding
- Hardship
- Childcare
- Residential Access Fund
- Area Costs
- Excess Claims
- Administration Expenditure

As set out in paragraph 89 of [Advanced learner loans funding and performance management rules: 2019 to 2020](#) you can claim up to 5% of your loans bursary expenditure for learner support activities (hardship, childcare and residential access fund) on administration expenditure.

### **4.4 Learner Support (procured AEB) funding claims**

Your learner support funding claim will show relevant sections for you to complete from the following:

- ESFA AEB Adult Skills - 19+ hardship
- ESFA AEB Adult Skills - 20+ childcare
- ESFA AEB Adult Skills - Residential Access Fund
- ESFA AEB Adult Skills - Administration Expenditure

As set out in paragraph 224 of [ESFA funded adult education budget \(AEB\): funding and performance management rules 2019 to 2020](#) you must not claim more than 5% of your total Learner Support claim as administration expenditure.

## 4.5 16 to 19 Education claims

If you have a 16 to 19 Education allocation you must submit:

Year-end forecast funding claim Final funding claim

Your 16 to 19 Education claim will show relevant sections for you to complete from the following:

- 14 to 16 Direct Funded Students (Row A)
- 16 to 19 High Needs Students (including High Needs Students) (Row B)
- 19 to 24 Students with an EHC plan (Row C)
- 19+ Continuing Students (excluding EHC plan) (Row D)

## 5. Relevant to all funding claims

You will have 4 working days (seven for final claim) after the relevant claim opens to submit your funding claim. We will populate the actual delivery-to-date figures using the validated ILR and EAS data you have submitted where applicable.

You will not be able to amend this data.

For any non-formula funded activity, you will be able to enter your actual figures from your own records. The forecast you provide in your mid-year and year-end forecast funding claims must be realistic and based on actual and or expected demand. In your forecast, you should account for any potential errors identified through the funding rules monitoring (FRM) reports, as we may recover funding from you at the end of the year as specified in these reports. For more information, please refer to the guidance document, [Financial assurance: monitoring the funding rules for post-16 funding for 2019 to 2020](#).

The 'exceptional adjustments' column must only be used to make changes if you've agreed an exceptional adjustment with us beforehand.

We have published a [user guide](#) document giving further information on how to submit your funding claim.

If you do not submit a required funding claim in accordance with the dates above then we will issue a minor breach notice, as this is a contractual requirement.

## 6. When to sign a claim

Final funding claims must be signed in the [Manage your education and skills funding](#) service by 4 November 2020. You do not need to sign mid-year and year-

end forecast claims.

## 6.1 Who needs to sign a claim

An authorised person in your organisation must sign final funding claims.

This can be the principal or another senior post holder who has the delegated authority.

They will need the Contract authoriser or Data returns and claims authoriser role in [Manage your education and skills funding](#)

## 7. Audit

We will appoint audit firms to complete checks that funding claims are accurate.

If we choose to audit your claim, we will inform you in the summer of 2020.

You need to share your ILR/EAS data with the auditors in advance.

If your auditor tells you that you must make an adjustment to your funding claim as a result of an audit, you must amend your ILR data or make the agreed adjustment using the EAS.

## 8. Reconciliation statements

For mid-year funding claims, we will not issue any statements.

For the following funding streams, we will issue an indicative and final reconciliation statement:

- ESFA AEB – Adult Skills and Community Learning – grant-funded
- ESFA AEB - 19-24 Traineeships (procured)
- Advanced Learner Loans Bursary (ALLB) – grant-funded
- ESFA AEB – Adult Skills Learner Support – paid-on-profile (AEB procured)

We will issue indicative and final reconciliation statements through the [Manage your education and skills funding](#) service after your submitted year-end forecast and signed final funding claims.

The indicative statement will give you an indication of the funding you may need to pay back to us and the final statement will confirm the amount to be paid back or if

an additional payment is due.

The final statement will include adjustments for any errors identified through the funding rules monitoring (FRM) reports. For more information on these reports and the FRM process, please refer to [Financial assurance: monitoring the funding rules for post-16 funding for 2019 to 2020](#). We will write to you confirming any recoveries we are making from the FRM process.

If you have to pay amounts back to us, we will schedule those repayments from December 2020.

If you have an issue with your reconciliation value, you must tell us by 31 December 2020.

We will not consider any requests after this date.

## 9. Exceptional Learning Support (ELS)

If you need to claim for learning support costs over £19,000 then you will need to go through the ELS process at the beginning of the learner's programme. You can submit estimated costs and final claims for exceptional learning support by completing the [exceptional learning support cost form](#).

For further information about ELS please refer to relevant section of the [ESFA funded adult education budget \(AEB\): funding and performance management rules 2019 to 2020](#)

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