

Guidance

How to submit a funding claim for 2020 to 2021

Updated 3 December 2020

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1. Introduction

This document informs colleges and training providers the funding streams that they are required to submit a funding claim for, how to make a claim and the dates for submitting a funding claim for the 2020 to 2021 funding year. This is a contractual requirement for the following funding streams:

- grant funded - Adult Education Budget (AEB) (Adult Skills, Community Learning, 19 to 24 Traineeships and Covid-19 skills offer)
- learner support for AEB procured (Adult Skills and 19 to 24 Traineeships) – paid-on-profile
- grant funded - Advanced Learner Loans Bursary (ALLB)
- 16 to 19 education

Alongside this information you should read:

- [ESFA funded adult education budget \(AEB\): funding and performance management rules 2020 to 2021](#)
- [Advanced learner loans funding and performance management rules: 2020 to 2021](#)
- [Advice: funding regulations for post-16 provision 2020 to 2021](#)
- [Funding guidance for young people 2020 to 2021](#)

2. Deadlines for submitting claims

The deadlines for each aspect of submitting the claim are in the table below. Failure to submit a claim by the due date will be a breach of the funding agreement.

Funding Claim	Deadline to provide individualised learner records (ILR)	Claim form available on Submit Learner Data	Deadline to submit funding claim on Submit Learner Data	Deadline to sign funding claim on Manage your education and skills funding
Mid-year forecast funding claim*	04 Feb 21	08 Feb 21	11 Feb 21	N/A
Year-end forecast funding claim	04 Jun 21	08 Jun 21	11 Jun 21	N/A
Final claim	21 Oct 21	25 Oct 21	02 Nov 21	03 Nov 21

*You do not need to submit a mid-year forecast funding claim for 16 to 19 funding.

3. Where to complete and submit a claim

You must complete and submit your funding claim in the data collections area of the [Submit learner data](#) portal.

The funding claim form is available two working day after the close of the relevant Individualised Learner Record (ILR) and Earnings Adjustment Statement (EAS) submission periods.

4. Completing a claim

4.1 ESFA funded adult education budget (AEB) (grant funded) funding claims

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

- ESFA AEB Adult Skills – programme funding
- ESFA AEB Adult Skills – learning support
- ESFA AEB Adult Skills of which Community Learning
- ESFA AEB Learner Support – 19+ hardship
- ESFA AEB Learner Support – 20+ childcare
- ESFA AEB Learner Support – residential access funding
- ESFA AEB Learner Support – Covid-19 response *
- ESFA AEB Learner Support – administration expenditure

*This is a new deliverable for 2020 to 2021 and please refer to paragraph 248 of [ESFA funded adult education budget \(AEB\): funding and performance management rules 2020 to 2021](#) for further details.

As set out in paragraph 238 of [ESFA funded adult education budget \(AEB\): funding and performance management rules 2020 to 2021](#) you must not claim more than 5% of your total Learner Support claim as administration expenditure.

4.2 ESFA funded adult education budget Covid-19 Skills offer (grant funded)

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

- ESFA AEB Covid 19 skills offer – programme funding
- ESFA AEB Covid 19 skills offer – learning support
- ESFA AEB Covid 19 skills offer – learner support

4.3 ESFA funded 19 to 24 traineeships (grant funded)

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

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

4.4 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.

4.5 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

You must not claim more than 5% of your total Learner Support claim as administration expenditure.

4.6 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 90 of [Advanced learner loans funding and performance management rules: 2020 to 2021](#) you can claim up to 5% of your loans bursary expenditure for learner support activities (hardship, childcare and residential access fund) on administration expenditure.

4.7 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

None of the relaxations applied to the 2019 to 2020 final claim and reconciliation apply to the 2020 to 2021 funding claims cycle.

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

You will not be able to amend this data.

For all non-formula funded deliverable lines, for example, community learning or learner support, 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.

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 queries identified in the post-16 monitoring reports dashboard which we publish in [View your education data](#), as we will recover funding from you at the end of the year for certain errors.

Please refer to the [post-16 monitoring reports dashboard user guide 2020 to 2021](#) for details of which reports will result in a funding recovery.

In your final funding claim, you only need to agree the figures, as we will use your ILR/EAS to pre-populate your actual delivery figures.

We will account for any monitoring errors identified in your ILR data submission at this point. You will still need to enter figures for non-formula funded deliverable lines.

You may only use the 'exceptional adjustments' column for final claim to make changes if you've agreed an exceptional adjustment with us beforehand.

You will have 4 working days (7 for final claim) after the relevant claim opens 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.

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

6. When to sign a claim

Final funding claims must be signed in the [Manage your education and skills funding](#) service by 3 November 2021. 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

The ILR data return and EAS are subject to ESFA's audit and assurance regime to ensure the accuracy of ESFA funding claimed by a provider.

All providers must ensure that appropriate audit evidence is retained to support the ILR, EAS and all other returns made to ESFA.

Where overclaims are identified we may instigate recovery action through data adjustments, offsetting or by invoice.

If your auditor tells you that you must make an adjustment to your funding claim because of an audit, you will need to 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 – Covid-19 skills offer – grant funded
- ESFA AEB – 19 to 24 Traineeships (grant-funded)
- Advanced Learner Loans Bursary (ALLB) – grant-funded
- ESFA AEB – Learner Support for procured AEB – paid-on-profile
- ESFA AEB – Learner Support for procured 19-24 Traineeships – paid-on-profile

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.

Where provision was grant-funded, we will process monitoring errors identified in your R14 ILR data submission as an adjustment to your final reconciliation statement.

Any other errors relating to funding claimed through other means, such as a contract for services, will be offset against future delivery.

If we are not satisfied that provision identified in the post-16 monitoring reports dashboard is eligible, we may need to request further evidence demonstrating the learners' eligibility before we can publish your statement.

If you must pay amounts back to us, we will schedule those repayments from December 2021.

If you have an issue with your reconciliation value, you must tell us by 31 December 2021.

We will not consider any requests after this date. We will publish your reconciliation statement(s) by 30 November 2021.

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](#).

You must submit the ELS cost form for ESFA learners only, through the [ESFA online enquiry form](#) ensuring that you add "20-21 Exceptional Learning Support Claim" in the subject title. You will need to select Contract (19+) as the "Query Type" to enable your query to be transferred to the correct team.

Please contact your mayoral combined authority (MCA's) or the Greater London Authority (GLA) for support funding for learners funded through devolved AEB arrangements.

For further information about ELS please refer to relevant section of the [ESFA funded adult education budget \(AEB\): funding and performance management rules 2020 to 2021](#).

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