

**THE  
FURTHER  
EDUCATION  
FUNDING  
COUNCIL**

## **Funding**

**This publication has been prepared by the Further Education Funding Council on behalf of the Learning and Skills Council**

# **Guidance on Further Education Funding Eligibility and Rates**

# **2001-02**

***THE FURTHER EDUCATION FUNDING COUNCIL***

*The purpose of the FEFC is to secure further education provision which meets the needs and demands of individuals, employers and the requirements of government in respect of the location, nature and quality of provision.*

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# Summary

This document provides guidance to institutions on the Learning and Skills Council (the Council) funding rates for 2001-02. It replaces the Further Education Funding Council (FEFC) publication *Guidance on the Tariff 2000-01*. This document is the key audit instrument on funding eligibility and rates. It provides definitions of eligibility and specifies the audit evidence to be made available.

The guidance on funding eligibility and rates for 2001-02 remains substantially the same as the FEFC guidance on the tariff for 2000-01. It is expected that substantial changes to the guidance will be introduced for 2002-03.

The document is of interest to institution principals, chief education officers, heads of external institutions and heads of higher education institutions receiving Council funding.

**Associated Guidance:** On audit, Supplement B (2000) to FEFC Circular 99/43 and on the funding allocations process, Learning and Skills Council publication: *Guidance on Funding Allocations 2001-02*.

## **Supersedes**

FEFC publication: *Guidance on the Tariff 2000-01*

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# Glossary

Achievement	The successful completion of a learning outcome
Additional Support	Any activity that provides direct support for learning to individual learners, over and above that which is normally provided in a standard learning programme which leads to their primary learning goal. The additional support is required to help learners gain access to, progress towards and successfully achieve their learning goals. The need for additional support may arise from a learning difficulty or disability, or from literacy, numeracy or language support requirements
Basic On Programme Unit (bopu)	The number of units available for the on-programme elements of a course before cost weighting factors are applied
Cost Weighting Factor (CWF)	One of five multiplication factors reflecting the relative costs of delivering different programme areas
Council	The Learning and Skills Council
Course	A sequence of learning events leading to a learning outcome. This outcome may be a qualification, an externally approved certificate, an institution approved certificate or may be uncertificated
DfEE	Department for Education and Employment
Distance Learning Course	Those on which learners study with specially prepared learning materials for their private study and are provided with active learner support, by suitably qualified staff, to enable them to successfully achieve the outcome identified in their learning agreement. This definition is intended to cover situations in which study is essentially home or work-based and there is only occasional contact with the institution
EEA Migrant Worker	A national of a member state of the European Economic Area (EEA) who has taken up an activity as an employed person in England
Enhanced Guided Learning Hours	For courses delivered by distance learning, the enhanced guided learning hours (eglh) equal the actual distance guided learning hours multiplied by 14
Entry Element	All activities leading to the enrolment of a learner on a learning programme
Exceptional Circumstances	Within this guidance there are references to exceptional circumstances. Where institutions believe that they do have exceptional circumstances they should contact the Council for written guidance before delivery and retain evidence of the response given. Where institutions do not seek guidance, the Council may subsequently have to declare provision ineligible and reclaim funding.
FEFC	The Further Education Funding Council
Guided Learning Hour (glh)	All times when a member of staff is present to give specific guidance towards the course being studied on a programme. This includes lectures, tutorials, and supervised study in, for example, open learning centres and learning workshops. It also includes time spent by staff assessing learners' achievements, for example in the assessment of competence for NVQs. It does not include time spent by staff in the day-to-day marking of assignments or homework where the learner is not present. It does not include hours where supervision or assistance is of a general nature and is not specific to the study of the learners



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Learning Programme	All of a learner's learning activities towards their primary learning goals which involve the use of the resources of the institution at which the learner is enrolled. AS and A levels taken in subsequent years are considered to constitute a single learning programme
LLSC	Local Learning and Skills Council
Mixed Mode Programme	A programme comprising distance and conventional delivery where 50% of the programme comprises eglh as defined above
On-Programme Element	All activities of learning and accreditation of achievement, including assessment, general and specific learner support services, and enrichment activities
Ordinarily Resident	For funding purposes the Council regards as ordinarily resident in a given country or region any person who habitually, normally and lawfully resides from choice and for a settled purpose in that country. Temporary absences from the relevant area should be ignored. If someone has not been ordinarily resident because they, their parent or their spouse were working temporarily abroad, they will be treated as though they have been ordinarily resident in the relevant area
Other Provision	All courses leading to a learning outcome that are not defined as a qualification. Other provision may be externally or internally certificated or may not lead to a certificate
Primary Learning Goal	The endpoint course aim or aims, whether certificated or not, or other equivalent objectives to be achieved by the learner within a minimum period of 12 months as set out in the learner's learning agreement with the institution. It excludes provision that is either subsidiary or equivalent to other provision in the same subject already included in the primary learning goal
Qualification	<p>A qualification included on the published list:</p> <p>Approved external qualifications under Section 96 of the <i>Learning and Skills Act 2000</i> for pupils, learners and trainees under the age of 19.</p> <p>Qualifications are fundable for learners of all ages</p>
QCA	Qualifications and Curriculum Authority
Recently Settled Status	Persons with recently settled status are those having been granted indefinite leave to remain or enter, Right of Abode or British citizenship within the three years immediately preceding the start of the course
Right of Abode	Persons with Right of Abode include British citizens and persons who have a Right of Abode sticker or vignette on their passport
S96	The list of qualifications approved by the secretary of state under Section 96 of the <i>Learning and Skills Act 2000</i>
Settled	Having either indefinite leave to enter or remain, or having the Right of Abode in the United Kingdom
Specialist Institutions	For funding purposes, a specialist college is an agricultural and horticultural college or an art and design and performing arts college and those at which 70% or more of the total provision is in one or two programme areas only.

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# Guidance on Further Education Funding Eligibility and Rates 2001-02

## Introduction

1 This document provides advice to funded institutions on the funding rates for 2001-02. It replaces the FEFC publication *Guidance on the Tariff 2000-01*. Guidance on the funding allocations process is set out in Council document: *Guidance on Funding Allocations 2001-02* issued by the FEFC on behalf of the Council.

## Summary of the Council's functions as set out in the *Learning and Skills Act 2000*

2 The Council has a duty to secure, in relation to England only, the provision of proper facilities for education (other than higher education), training and organised leisure time occupation connected with such education and training suitable to the requirements of persons who are above compulsory school age but have not attained 19. In addition, it has a duty to secure the provision of reasonable facilities for education (other than higher education), training and organised leisure time occupation connected with such education and training suitable to the requirements of persons who have attained the age of 19. In securing reasonable facilities for those over 19 it can take into account available resources.

3 The Council has the power to secure the provision of financial resources in respect of post-16 education and training including by providing resources itself.

## Purpose of this document

4 This document forms the key audit instrument on funding. It provides Council definitions of eligibility and specifies the audit evidence to be made available. This requires institutions to take action in advance of course delivery to ensure the decision-making trail is clear. The fundamental principle is that institutions are responsible for decision making. This is why heads of institutions are required to sign off funding agreements and funding claims. The Council does not approve

institutions' arrangements in advance. It is the Council, however, that is responsible at the end of the process for determining whether claims are eligible in accordance with its guidance.

The Council wishes, as far as may be practicable, to avoid post-delivery difficulties and so will endeavour to assist with queries. Whilst every effort is made to provide clear, unambiguous and comprehensive guidance, questions will inevitably arise.

Institutions are advised to consult their local Learning and Skills Council (LLSC) especially where new and/or possibly contentious modes of delivery are involved. This includes courses delivered via the Internet, and courses delivered in new partnership arrangements with third party companies.

## Funding principles

5 The principles outlined in this section apply to all claims for funding made under the arrangements outlined in this document.

6 The Council aims, by providing funds, to reimburse providers for the costs incurred directly in the delivery of education and training, together with an appropriate contribution to the overhead costs of the provider.

7 The Council uses guided learning hours as the key measure of costs incurred and expects providers to consider this when determining funding to be claimed.

8 In setting out the funds to be claimed, there may be occasion when there is more than one method of calculation. In these situations, providers should consider paragraphs 5, 6, and 7.

9 Whenever calculation of funding to be claimed results in a level of funding which is clearly well in excess of the costs incurred, providers should review the proposed claim carefully to determine whether the correct funding has been calculated.

10 On the other hand, where institutions wish to make provision that is in the best interests of their students, the funding arrangement should not be a barrier. In either case, the institutions should contact the Council's rates and eligibility team.

## Exceptional circumstances

11 Within this guidance there are references to exceptional circumstances. Where institutions believe that they do have exceptional circumstances they should contact the Council for written guidance

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before delivery and retain evidence of the response given. Where institutions do not seek such guidance, the Council may subsequently have to declare provision ineligible and reclaim funding.

### **Provision with higher risk eligibility**

12 The Council considers the following examples of partnership arrangements for the delivery of the provision raise potential issues of eligibility where care is required:

- former franchise partnerships transformed to direct delivery by any of the following means:
  - secondment arrangements
  - facilities management, including the leasing and support of computer hardware, software, the provision of educational materials or administrative support
  - distance learning arrangements
  - staffing agency arrangements
- Information and Communications Technology (ICT) centres operated in partnership with third party companies that offer a restricted curriculum
- provision delivered by distance learning, particularly on-line via the Internet.

13 The Council would be particularly concerned about new, previously unplanned partnerships entered into in the spring or summer term where the motivation is to make up a shortfall of units.

14 Institutions wishing to deliver courses on-line via the Internet, other than recognised University for Industry (Ufi) courses, or to enter into partnership arrangements including, but not restricted to those described in paragraph 12, are advised to contact their LLSC in advance of the delivery of provision. Where an institution fails to do so, the risk that the Council may subsequently not fund the provision is much higher. The Council is likely to request additional audit checks on provision described above in 2001-02.

15 Institutions were advised of the risks inherent in certain types of provision in FEFC Circular 99/43, *Audit of the 1999-2000 Final Funding Unit Claim and of the 1999-2000 Individualised Student Record Data*, Supplement B. This provided a self-assessment checklist of risk factors at annex B to enable institutions to classify provision as higher,

medium or lower risk. The assessment of risk approach should be used by institutions and their external auditors in compiling the audit testing programme for provision made in 2000-01 and in planning provision in 2001-02.

### **Structure**

16 This document has been structured in three parts:

- Part A: changes to funding arrangements for 2001-02 (paragraphs 17–39)
- Part B: funding eligibility arrangements for 2001-02 particularly definitions and learner and programme eligibility (paragraphs 40–218)
- Part C: the funding rates for 2001-02 and how to calculate units (paragraphs 219–358).

# Part A: Changes to Funding Arrangements for 2000-01

## Changes for 2001-02

17 This section highlights changes considered to be significant to the funding rates and eligibility criteria for 2001-02. These changes are also identified in the main body of the document by lines in the margins against the appropriate paragraphs. Whilst the Council has minimised the number of changes made for 2001-02, the introduction of the *Learning and Skills Act 2000* has required the re-writing of significant sections of the guidance. Institutions are advised to review this document carefully to prevent funding difficulties arising after the delivery of provision.

### Introduction of a glossary

18 A glossary of terms has been included in the guidance to provide definitions of key terms used in the document. Readers are advised to view the glossary before consulting this document. This document also contains an index at page 70.

### Specialist institutions

19 The specialist institutions' factor will be increased to 10% for funding allocations for 2001-02. The effect will be to increase the rate of funding per unit, rather than increasing the number of units generated by learners in such institutions. The Higher Education Funding Council (HEFCE) operates a similar scheme for specialist institutions in the higher education sector. The National Rates Advisory Group (NRAG) will consider cost weighting factors in due course and revised guidance should be available for 2002-03.

### EU/EEA learner eligibility for funding (paragraph 46)

20 The guidance on the eligibility for funding of learners from EU and EEA countries has been modified in paragraph 46 of section B. For those learners from EU/EEA countries who are enrolled on eligible programmes, there is an expectation that they will have been resident within the EU/EEA for three years preceding the beginning of their programme. This brings the eligibility requirement

for EU/EEA learners in line with learners ordinarily resident in England.

### Learners serving in the armed forces and Ministry of Defence (MOD) civil servants (paragraph 52)

21 In paragraphs 40–45 of the *Guidance on the Tariff 2000-01*, it was stated that British armed services personnel would be considered eligible for FEFC funding by distance learning to complete their course if they had originally enrolled while in England, but were subsequently posted outside England before completing their programme. For 2001-02, this has been extended such that serving members of the armed forces, MOD civil servants, their spouses and dependants will, in addition, be considered eligible for Council funding if they commence an eligible programme while posted outside England. This applies to direct provision, but not franchising and came into effect on 1 February 2001.

### Other persons temporarily employed outside England (paragraph 54)

22 The guidance on employed persons who are currently temporarily employed outside England has been amended with effect from 1 February 2001, to allow such persons, their spouses and dependants to access Council-funded courses while abroad, providing they continue to pay taxation in England.

### Community service orders (paragraph 84)

23 Following pilots for persons on community service orders, these programmes may be funded under the circumstances outlined in paragraph 84. Institutions making such provision for the first time must contact their LLSC when planning programmes. Further guidance regarding the 'qualifications' and 'other provision' that are eligible for funding may be found in the accompanying publication *Guidance on Funding Allocations, 2001-02*.

### Eligible provision (paragraphs 125–135)

24 During the period from 1 April 2001 until 31 August 2001, provision formerly regarded as a qualification by the FEFC will continue to be eligible for funding. In addition, all provision that was eligible for funding in 2000-01 will continue to be eligible in 2001-02. The *Learning and Skills Act 2000* recognises two types of provision;

the ‘qualifications’, referring to all qualifications approved by the secretary of state under Section 96 of the Act and ‘other provision’. These are fully described in paragraphs 125–135.

### **Unitisation (paragraph 136–138)**

25 Following consultation with the sector on the unitisation pilots, the Council has removed the need to connect two individual units. Single units of qualifications will be fundable where they satisfy learners’ needs.

### **Eligibility for entitlement funding – 16 to 18 year-old learners (paragraph 148)**

26 Following a review of the introduction of *Qualifying For Success* (Curriculum 2000), the guidance on eligibility for entitlement funding has been expanded to include multi-year programmes.

### **Funding for GNVQ and AVCE qualifications (paragraphs 157–160)**

27 In 2000-01, GNVQs and AVCEs studied on a part-time basis (that is, where the qualification glh were less than 120 per funding period) were funded through the loadbands. This led, in some circumstances, to a funding disadvantage where learners combined A Level and GNVQ/AVCE or 6 and 12 units AVCEs.

28 For 2001-02, all GNVQs and AVCEs will be funded as listed qualifications except where a learner, having previously part-finished the GNVQ or AVCE at the same or other institution, re-enrols following a break in study to complete the qualification. Under these circumstances the full funding is inappropriate and funding for the qualification should be claimed via the loadbands.

### **Listed NVQs (paragraphs 161, 263)**

29 Those NVQs that the Council has listed will be reviewed during the next few months. A revised list will be published and distributed to all funded institutions.

### **Removal of the growth restriction on non-prescribed HE (paragraph 164)**

30 For 2001-02 this restriction has been removed.

### **Adult Basic Education including ESOL (i.e. programme area 10) and Independent Living loadbanded courses (paragraph 253)**

31 In the FEFC *Funding Guidance on the Tariff 2000-01*, Adult Basic Education, (including ESOL), and Independent Living courses delivered in 450glh or more during the course of the academic year, were removed from the loadbands to generate a fixed value of 84 bopu.

32 For 2001-02, these courses, if delivered in between 450 and 659 glh per year, will continue to attract 84 annual bopu. However, in addition, if delivered in 660 annual glh or more, such programmes will be returned to the loadbands and will attract additional units as outlined in the table of loadbands at annex A. For learners on mixed programmes where programme area 10 and/or independent living courses are supplemented by other courses, the minimum of 84 bopu may be claimed provided at least 225 annual glh are in programme area 10 or Independent Living.

### **Threshold for funding of accreditation of prior learning programmes (paragraph 291)**

33 The threshold for funding of these programmes has been reduced to 6 glh to bring it in line with other programmes.

### **Extension of automatic fee remission to part-time 16–18 year olds (paragraph 306)**

34 The Council has now extended eligibility for automatic fee remission to all 16–18 year-old learners in 2001-02, including those on part-time courses. The Council will compensate institutions that remit 100% of the tuition fee for such learners.

### **Achievement units (paragraph 332)**

35 All funded learners achieving a learning outcome identified on their learning agreement will be eligible for achievement units. Where there is no certificated learning outcome, institutions are required to retain documentation to substantiate the achievement of that learning outcome.

### **Cost weighting factors**

36 The cost weighting factors for 2001-02 will be unchanged. A full review of CWFs will, however, be undertaken by the Council as soon as is practicable.

37 Institutions are also advised to monitor the LSC website [lsc.gov.uk](http://lsc.gov.uk) for details of funding matters arising throughout the year.

## **Other Proposed Changes for 2002-03**

### **Criteria for accrediting internally certificated provision**

38 The Council will consult during 2001-02 on a framework for accrediting internally certificated provision to be implemented in 2002-03.

### **Fee remission for learners taking basic skills as a minor part of their programme (paragraph 298)**

39 Automatic fee remission for learners enrolled on programmes which contain minor components of basic skills provision, will be considered by the Council for 2002-03.

## Part B: Funding Eligibility Arrangements for 2001-02

### Learner eligibility for funding

40 The Council has a duty to secure, in relation to England only the provision of:

- proper facilities for education (other than higher education), training and organised leisure time occupation connected with such education and training suitable to the requirements of persons who are above compulsory school age but have not attained the age of 19, and
- reasonable facilities for education (other than higher education), training and organised leisure time occupation connected with such education and training suitable to the requirements of persons who have attained the age of 19.

41 Institutions are reminded that Wales and Scotland have their own funding arrangements. There may be occasions where individual Scottish or Welsh learners may wish to live in England to study. However, it is not expected that institutions in England will recruit entire groups of learners from outside their local area (see FEFC Circular 99/39: *Local Priorities*). The Council has reciprocal arrangements with the funding councils for Wales and Scotland for institutions close to the borders.

42 For funding purposes the Council regards as ordinarily resident in a given country or region, any person who habitually, normally and lawfully resides from choice and for a settled purpose in that country. Temporary absences from the relevant area should be ignored. If someone has not been ordinarily resident because they, their parent or their spouse were working temporarily abroad, they will be treated as though they have been ordinarily resident in the relevant area.

### Fees status (learners from overseas)

43 Institutions are advised to consider the fees and funding position of such learners at the same time to avoid inconsistency of approach. The fees status of these learners is determined by the Regulations. Institutions are advised to obtain a copy of the Regulations which are available from

The Stationery Office. The Department for Education and Employment (DfEE) issued guidance on the Regulations in autumn 1998.

44 Institutions should ensure that they have at least one member of staff who is familiar with the Regulations and the DfEE's guidance on the Regulations. This person is likely to be the best equipped to advise the institution on the funding of learners from abroad.

45 The Council would expect an institution to charge a 'home' fee in the few cases where a learner is defined as eligible for Council funding but 'overseas' for tuition fee purposes.

46 The following persons will be eligible for funding:

(These groups correspond to the groups listed in *Education (Fees & Awards) Regulations, 1997* (the Regulations). See also glossary for definition of terms used.

- a person 'settled' in the UK, who has been ordinarily resident in the UK and Islands (that is including the Channel Islands and the Isle of Man) for the three years preceding the 'relevant date'<sup>1</sup> and whose main purpose for such residence was not to receive full-time education during any part of the three year period; 'settled' means having either indefinite leave to enter or remain (ILE/R) or having Right of Abode in the UK as referred to in the *Immigration Act 1971*, – British citizens and certain other citizens have the Right of Abode in the UK;
- a national of any EU country, or the child of an EU national, who has been ordinarily resident in the EEA for the three years preceding the 'relevant date', and whose main purpose for such residence was *not* to receive full-time education during any part of the three-year period.<sup>2</sup> Spouses of EU nationals are not eligible unless they are eligible in their own right;

<sup>1</sup> Relevant date is a reference to 1 September, 1 January or 1 April closest to the beginning of the first term of the person's course.

<sup>2</sup> The member states of the EEA are: Austria, Belgium, Denmark, Finland, France, Germany, Greece, Iceland,\* Ireland, Italy, Netherlands, Norway,\* Portugal, Spain, Sweden, United Kingdom, Liechtenstein,\* Luxembourg. (\* not a member state of the European Union (EU))

- c. an EEA migrant worker, or the spouse or child of an EEA migrant worker, who has been ordinarily resident in the EEA for the three years preceding the 'relevant date' and whose main purpose for such residence was not to receive full-time education during any part of the three year period;
- d. anyone who is recognised as a refugee by the UK government (granted Refugee Status) who has remained ordinarily resident in the UK and Islands since so recognised, or the spouse or child of such a refugee;
- e. anyone refused Refugee Status but who has been granted exceptional leave to enter or remain (ELE/R) by the UK government and has remained ordinarily resident in the UK and Islands since so recognised, or the spouse or child of such a person;
- f. learners studying under reciprocal exchange agreements.

47 In addition to the groups listed in the Regulations, the Council will also consider the following groups of learners to be eligible for Council funding:

- a. persons who have legally been living in England for the three years immediately preceding the start of the programme ignoring temporary absences, but not including persons with time limited leave to remain as a student whose leave to remain does not extend to the expected end date of the proposed course of study;
- b. asylum seekers and their dependants in receipt of either:
  - a means-tested state benefit
  - or assistance under the terms of the *Immigration and Asylum Act 1999*
  - or the *Children Act, 1989*, for example voucher assistance from the National Asylum Support Service (NASS)
  - or in receipt of assistance under the *National Assistance Act 1948*;<sup>3</sup>
- c. the Council is prepared to regard as eligible for funding any young, unaccompanied asylum seeker aged 16-18 who is placed in the care of social services.

<sup>3</sup> Asylum seekers will not, however, be eligible to access learner support funds

Where asylum seekers are receiving voucher assistance and the fee has been remitted in full, institutions may count the funding units relating to these learners against their funding agreement with the Council. If the state assistance given to an individual is subsequently withdrawn, the institution may no longer count the units associated with the learner against the funding agreement from the next tri-annual period;

- d. persons with exceptional leave to enter or remain, their spouses and children;
- e. persons with recently settled status including those with indefinite leave to enter or remain.

48 In addition to learners in the categories listed in paragraphs 46 and 47, the Council will consider other exceptional circumstances. Where an institution believes a learner should be considered for funding under exceptional circumstances, they should contact their LLSC.

49 Council funding should not be claimed for EU/EEA learners who are in one or more of the following categories:

- learners attending short courses as visitors to England, including those studying for an externally accredited qualification on the basis of full-cost recovery. Short courses are generally regarded as up to six weeks duration, where up to 30 hours a week are spent in guided learning. This includes in particular holiday or summer school courses
- learners recruited through agents outside the UK
- learners studying for only part of a qualification or who do not intend to complete a recognised programme of study.

### Learners from Kosovo

50 In the FEFC *Guidance on the Tariff 2000-01*, paragraph 58, it was acknowledged that for the duration of the emergency situation in Kosovo, Kosovans entering England would be given exceptional leave to enter or leave to remain in the UK. As a result, the FEFC considered as home learners for funding purposes, Kosovans who entered the UK during the emergency situation. Following guidance from the Foreign and



Commonwealth Office, it is understood that this situation is now over. With effect from 1 August 2001, new learners from Kosovo will not be eligible for Council funding unless they meet one or more of the eligibility criteria outlined in paragraphs 46 and 47. Learners enrolled on programmes which started prior to this date may be funded to completion of that programme.

### **Learners from Montserrat**

51 The Council regards as eligible for funding all Montserratians who have been evacuated to England as a result of the emergency situation in Montserrat. Should this situation change during the course of the 2001-02 academic year, further guidance will be issued to institutions.

### **Learners in the armed forces and Ministry of Defence (MOD) civil servants**

52 The Council recognises that British armed services personnel may wish to continue in education and training whilst serving their country. Following consultation with the Ministry of Defence (MoD), the Qualifications and Curriculum Authority (QCA) and the DFEE, the Council has agreed with effect from 1 February 2001, to fund eligible programmes of study for service personnel, MOD civil servants, their spouses and dependants via a sector institution in the following circumstances:

- where the individual normally resides in other parts of the UK but is on a posting in England
- where an individual normally resides in England, but is posted outside England as part of their work with the armed services. This includes both cases where the individual begins a programme in England and is posted elsewhere while enrolled on this programme, and cases where the individual commences a programme while posted outside England. In both cases, the Council will fund the programme to completion. It is expected that such provision will be made via distance learning or through Ufi, other than in exceptional circumstances. The Council has been advised that a franchise arrangement in such circumstances will not meet the control test, as set out in FEFC Circular 96/06: *Franchising*, and accordingly franchised delivery to

members of the armed forces overseas will not be eligible for funding.

53 Learners of other nationalities serving in the British armed forces, for example Gurkha soldiers posted in England, their spouses and dependants should be considered eligible for funding for the duration of their posting in England.

### **Learners employed temporarily outside England**

54 Where, as part of the requirements of employment, a person who is ordinarily resident in England, is required to work outside England for short periods that person, their spouse and dependants will be considered eligible for Council funding providing the person continues to pay taxation in England. It is expected that such provision will be made via distance learning, or through Ufi, other than in exceptional circumstances.

### **Periods of study outside England**

55 The Council recognises that learners who are eligible for funding as ordinary residents and are undertaking a substantial Council funded programme in England, may, as part of this programme, spend a short period of time outside England. The Council will consider such provision eligible for funding where this provides a minor but essential part of a qualification which cannot be provided in England. Institutions seeking to make such provision should seek advice from their LLSC before entering into arrangements. An exception to this rule will be made for learners serving in the armed forces (see paragraph 52).

### **Audit Evidence – learner eligibility**

56 Institutions are expected to scrutinise applications for study by learners in the categories listed in this section of the guidance and note in their learning agreement which of the above cases apply.

57 Institutions are expected to retain copies of documentation to support the learner's case for consideration as ordinarily resident in England. Foreign nationals will have Home Office documentation that outlines their status, for example refugee status or exceptional leave to remain in the UK. Asylum seekers should be asked to provide evidence that they have a current application for asylum and that they are receiving

assistance under the terms of the *Immigration and Asylum Act 1999*. This should include appropriate confirmation from the National Asylum Support Service, the local authority regarding such assistance, or the Benefits Agency regarding means-tested benefit.

### **Learners studying English as a foreign language**

58 In 1998-99, the DfEE excluded EFL (English as a foreign language) qualifications, other than NVQ language units, from the approved list of vocational qualifications falling within schedule 2(a) to the *Further and Higher Education Act, 1992*.

59 In order not to disrupt provision, the Council agreed for 1998-99 to place EFL qualifications temporarily within schedule 2(f) (teaching English to learners where English is not the language spoken at home). This was subsequently extended to include the institution year 1999-2000, to allow enough time for a review of the funding of these qualifications and to consult on any potential changes.

60 An EFL task group, consisting mainly of practitioners from colleges and external institutions, met in 1999-2000 to consider the further guidance to be provided to the sector in respect of EFL qualifications for 2000-01. The task group's recommendations were supported through the consultation undertaken in FEFC Circular 00/02.

61 All learners who are eligible for funding, as detailed in paragraphs 40-57 will be considered eligible to receive funding for EFL and ESOL courses, with the following exception:

- European law enables learners from other EU countries who are resident in England primarily for education (that is, not migrant workers) to access only vocational training in England funded by the Council. EFL and ESOL courses do not fall within the definition of vocational training.

62 EFL courses will continue to receive cost weighting factor A and learners enrolled on EFL should be subject to the usual tuition fees. Learners who are enrolled on EFL programmes are required to work towards a recognised externally accredited qualification, if appropriate.

63 ESOL programmes which are included in the category of basic skills courses will continue to receive a cost weighting factor of C. Learners

enrolled on ESOL courses will receive automatic tuition fee remission.

### **Audit Evidence – EFL programmes**

64 Institutions are expected to scrutinise applications for study by learners in the above categories and note on their learning agreement which of the above cases apply.

### **Full-time learners – funding purposes**

65 The definition of full-time for funding purposes will be in terms of funding units generated per period, rather than in guided learning hours (glh). For a learner to be deemed full-time, the programme must generate 16 basic on-programme units (bopus) per period, equivalent to 48 bopus per year. For example, the funding rate for a single GCE A level in one year will be 48 bopus. Institutions will, however, be required to provide evidence of the number of glh provided to learners.

### **Full-time learners – statistical purposes**

66 For the purposes of monitoring growth in numbers of 16-18 year-old learners and other statistical purposes, 'full-time' means a learner intending to complete a programme of 450 annual glh in a funding year. This includes: 450 glh in one, two, or three tri-annual periods and learners enrolled on a programme of at least 450 hours who withdraw after passing a census date, but before completing the programme.

67 For certain learning programmes that include individually listed qualifications such as NVQ and access to higher education, 450 hours per year will continue to be used to obtain 84 bopus. This is now being expressed as 150 hours per tri-annual period for a minimum of 450 glh for each course.

68 In terms of Curriculum 2000, institutions should note that ministers expect most full-time programmes for 16-18 year olds to be substantially greater than the minimum threshold level, and that learners will enjoy a broader curriculum experience. For loadbanded courses, 660 hours will now be used to obtain 85.5 bopus.

### **Audit evidence – all learners**

69 The learner's learning agreement, including the average number of glh a week, provides part of the auditable evidence of institutions' claims for funding units. This learning agreement should show details of the learner's planned programme, including

whether it is full-time or part-time and the length of the programme, and is signed on behalf of the institution and by the learner. All learners funded by the Council should have a learning agreement. The details of what should be set out in a learning agreement are set out under 'learning programme'. Class registers or the equivalent will also be used in determining the length of programme.

### **Part-time learners – Jobseekers' Allowance**

70 The *Jobseekers' Allowance (JSA) Regulations 1996* contain rules on study by people who are unemployed and receiving benefit. Full-time learners (excluding those on programmes enabling them to study on a full-time basis, such as New Deal for people over 25) will continue to be excluded from benefit as unemployed people. People undertaking part-time courses will be able to receive the JSA provided they meet the conditions of entitlement, including being available for and actively seeking employment. In the case of provision wholly or partly funded by the Council, the regulations will define programmes of no more than an average of 16 glh a week as part-time.

### **Audit evidence – Jobseekers' Allowance**

71 Institutions funded by the Council should include a section in their learning agreements stating the average number of glh a week for a learner's programme. Regulations will provide that the learning agreement, signed on behalf of the institution, but not any other document, will provide evidence of a learner's average glh for the purposes of determining entitlement to benefit.

72 In the case of programmes of more than one year's duration, the information included in the learning agreement on the number of glh per week should be reviewed before the beginning of the institution year and recalculated where necessary.

73 Institutions should note that the learning agreement has a legal status in the context of JSA and should be prepared to make the original document available for inspection by Employment Service (ES) or central adjudication service staff if required.

### **Age of learners**

74 For funding purposes, 'age 18' means 'under 19 on 31 August in the calendar year when the learner begins a programme of study'. For statistical purposes, including monitoring growth in

16–18 full-time learners, the definition of 16–18 is 'under 19 on 31 August of the funding year in question'.

### **Staff employed by an institution as learners**

75 Staff employed by an institution may be funded on eligible programmes providing that attendance is outside their contracted working hours or that they are released for training and replaced. It is not expected that the numbers of such enrolments will be significant. Institutions should retain appropriate audit evidence.

### **People of compulsory school age**

76 There is now a single date when young people can legally leave school. That date is the last Friday in June for those young people who have completed year 11. Institutions should note that the Council will not expect to fund groups of school-leavers before 1 August in the year they leave school, but it will fund individuals under exceptional circumstances.

77 As stated in the *Learning and Skills Act 2000*, the Council has a duty for the provision of proper and reasonable facilities for education (other than higher education), training and organised leisure time occupation connected with such education suitable to the requirements of persons who are above compulsory school age. The Council may fund provision for learners of compulsory school age where the provision is suitable to the requirements of persons over compulsory school age. The secretary of state would expect the Council to exercise its power to secure provision for such learners only in exceptional circumstances, and the learner numbers underlying the proposed grant to the Council do not allow for any expansion in the number of learners under 16. For the purposes of the funding agreement, 'under 16' means 'of compulsory school age'.

78 In the light of this, institutions should take account of the following guidance regarding the exceptional circumstances under which the Council will consider provision for learners of compulsory school age as eligible for Council funding:

- the provision must meet an individual learner's needs bearing in mind the learner's aptitude and ability, and the provision must be included on the S96 list as suitable for pre-16 as well as post-16 learners

- it is not envisaged that groups of learners would be eligible for funding since, by inference, the circumstances are extremely unlikely to be exceptional
- where learners of compulsory school age enrol on basic skills summer schools programmes, the institution must obtain prior agreement from their LLSC
- persons of compulsory school age are not eligible for the 3 and 6 guided learning hour course arrangements, which apply to adults only.

79 Where parents seek to enrol a young person of compulsory school age on a full-time programme, institutions are advised to involve the school and local education authority in discussions as appropriate. Institutions are reminded that the education standard spending assessment settlement calculated for each local education authority contains funds for each learner of compulsory school age in a maintained school, excluded from school, or educated 'otherwise'. In most cases an institution wishing to enrol a learner of compulsory school age should seek funding from the LEA or school if appropriate. Where a local authority declines to fund an institution place, the Council determines the circumstances are not exceptional, and the institution wishes to enrol the young person, the DfEE advises that the institution may charge a fee.

### Learners enrolled in schools

80 The Council will not provide funding for learners who are enrolled full-time in a school and who wish to follow part of their programme in a further education institution during school hours. In such circumstances, whatever the age of the learner, this provision should be treated as link provision, and it is expected that the school will meet the costs of this provision.

81 Where a learner is enrolled in a school, but wishes to undertake a part-time course outside school hours which is not connected with their full-time programme at school, for example by enrolling on an evening class, the Council will consider such provision as eligible for Council funding provided the learner is over compulsory school age and the qualification has been approved as suitable for post-16 learners by the secretary of state.<sup>4</sup> The Council does not expect to fund evening resit GCSE programmes for learners in school sixth forms.

<sup>4</sup> See glossary for definitions of qualifications

### Audit evidence – people of compulsory school age

82 Institutions should retain for audit, in all cases, written evidence of the Council's agreement to fund individual learners of compulsory school age.

### Persons detained by court order

83 Institutions are requested to note that the Council has neither the duty nor the power to fund individuals detained under order of a court, for example prisoners (see Section 60 of the *Further and Higher Education Act 1992* and Schedule 9, paragraph 35 of the *Learning and Skills Act 2000*). This includes inmates who wish to undertake study with a Council-funded institution immediately prior to their release and those detainees who are electronically 'tagged'.

### Community service

84 The Home Office recommends that in community service orders, up to 10% of the order can comprise education and training relevant to the needs of the offender. In 2000-01, following discussions with the Home Office, Council funding for provision relating to specific community service projects, including Home Office Pathfinder projects, was agreed. For 2001-02 all community service training programmes will be eligible for funding subject to the following conditions:

- supervision for community service orders (cso) is funded by the Home Office. Council funding will be available only where offenders are provided with additional resources, over and above that provided by the cso, to enable them to follow a programme of education and training
- the additional resources claimed should represent no more than 10% of the value of the cso
- all cases should involve the employment of additional delivery staff who would not have been present without Council funding, whose contract is explicitly for the provision of glh
- funding shall not be claimed for persons solely providing administrative services or assessment.

85 All cases should identify additional learning rather than just good work or the development of self confidence. Institutions seeking to claim funding

for work with community service order providers for the first time should consult their LLSC in planning the programme.

### Widening participation learners

86 The Council introduced a widening participation factor into the funding methodology for 1998-99 following the recommendations of the Kennedy Report, *Learning Works*. The method of calculation is set out in Part C, paragraphs 343–347.

87 The secretary of state has identified widening participation as a key objective for the sector and in 2001-02 expects 65% of additional adult learners to be drawn from those groups whose background had disadvantaged them.

88 The following groups of learners are eligible for a widening participation uplift factor:

- those living in deprived areas (based on wards)
- the homeless (see paragraphs 91–94)
- those living in hostels and residential centres
- those with mental health problems
- travellers
- those whose statutory education has been interrupted
- those in or who have recently left care
- asylum seekers
- refugees
- ex-offenders
- full-time carers
- those recovering from alcohol or drug dependency
- learners enrolled on ESF funded provision
- single regeneration budget (SRB) funded learners
- basic skills learners.

89 People who fall into one of the following groups are not automatically eligible for a widening participation uplift, unless they meet one of the criteria outlined in paragraph 88:

- the long-term unemployed
- single parents
- those living in areas of rural deprivation or isolation
- residents of former coalfields taskforce areas.

90 Further details of the widening participation factor are set out in FEFC Circular 99/42: *Extension of the Widening Participation Factor*.

### Homeless learners

91 The Council has adopted the Housing Corporation's basis for determining what constitutes supported housing. Three conditions must be met before housing may be determined as supported housing for the purpose of claiming the widening participation uplift for homeless learners. These conditions are:

- there must be a landlord–tenant relationship, which may include a licence agreement, with the individual receiving the support
- the level of housing support provided must be over and above that which would generally be provided in relation to the management of general needs housing. Intensive housing management involves the same activities as basic management, but is characterised by the higher frequency and degree of difficulty of undertaking them for vulnerable residents, particularly if there is an expectation to move on. The following are examples of activities performed more intensively in supported housing:
  - agreeing housing support plans with new residents
  - arranging and counselling residents about their move-on requirements
  - putting residents in touch with care, support and welfare services providers
- the landlord must have formally taken on responsibility for providing the housing-related support to the resident(s) concerned, either directly or indirectly through a formal relationship with another organisation or voluntary body.

92 In addition, the Housing Corporation's performance standard relating to action plans for residents, standard H2.1, requires Registered Social Landlords of supported housing to 'discuss, agree, and plan appropriate housing support' with residents. The Council expects institutions to secure evidence from the learner's landlord indicating that the action plan makes reference to the education

needs of those residents who are undertaking further education courses. This could be formal written confirmation from the landlord or a copy of the relevant part of the action plan.

93 This approach is intended to ensure that landlords and institutions secure effective partnership arrangements with regard to identifying and providing appropriate educational provision for residents in supported housing. This will help provide a unified approach to address the needs of those people who may be considered as the most vulnerable, thereby helping them to rebuild their confidence to assist their integration into society.

94 The Council expects the landlords of learners for whom institutions wish to claim the widening participation uplift to meet the same criteria as those required to secure registration as a Registered Social Landlord with the Housing Corporation. Guidance on the criteria to be met to secure registration with the Housing Corporation as a Registered Social Landlord can be found in the Housing Corporation's publication *Guidance for Applicants to Become a Registered Social Landlord*, published in October 1996. An equivalent body would be expected to meet these criteria.

## Programme Eligibility

### Introduction

95 This section sets out the elements of programmes and types of programmes that may be funded by the Council. Additional commentary on the calculation of funding units for specific elements is set out in Part C.

96 The *Learning and Skills Act 2000* has required significant revision to the details of programme eligibility for 2001-02. The Council expects that all provision eligible for funding in 2000-01 should remain eligible in 2001-02, but within revised definitions and criteria.

97 Institutions are reminded that they should consider the eligibility of provision for Council funding before entering data on the individualised student record (ISR). Where there is any uncertainty, the institution should contact their LLSC and seek written clarification before proceeding and retain evidence of guidance given. The Council reserves the right to disallow funding claims for ineligible programmes. Further guidance regarding the 'qualifications' and 'other provision' that are

eligible for funding may be found in the accompanying publication *Guidance on Funding Allocations, 2001-02*.

98 Institutions should note that the eligibility of provision is subject to review by external auditors and subsequently by the Council.

99 Institutions are reminded that the course database provides information about externally certificated qualifications, including those funded by the Council and those eligible for funding from other organisations. It should not be used as the sole means of confirming the eligibility of qualifications for Council funding.

### Learning programme

100 A learning programme is defined as: *all of a learner's learning activities towards their primary learning goals which involve the use of the resources of the institution at which the learner is enrolled*. AS and A levels are considered to constitute a single learning programme.

101 The repeal of Schedule 2 and its replacement with the new terms 'qualification' and 'other provision' require a revised vocabulary. A learning programme may thus comprise:

- learning leading to one or more qualifications, and/or
- learning as part of one or more courses which may, or may not lead to certification.

102 Whilst recognising that learners may occasionally enrol at more than one institution, groups of learners enrolled on full-time programmes at an institution should not be enrolled on part-time programmes at other institutions, especially through franchised provision. For example, it would not be appropriate for several learners enrolled on a full-time sports and leisure programme to be enrolled at another institution to do a first aid or sports coaching qualification, especially through franchised provision. This could lead to an over-claim of funding units.

103 A learner who completes a course which is not a 3 glh course, and re-enrols in the same 12-month period to take another course should have their learning programme revised. No additional entry units should be claimed. Institutions may claim a maximum of eight entry units for each learner in any 12-month period. Institutions, including those franchised organisations, or members of a Ufi

learning hub, should not seek to divide a learner's programmes between other institutions artificially in order to increase the number of units earned overall. Further guidance on duplicate learners and with particular reference to recording franchised learners is provided in annex G of supplement B (2000) to FEFC Circular 99/43: *Audit of 1999-2000 Final Funding Unit Claim and of the 1999-2000 Individualised Student Record Data*.

### **Primary learning goal**

104 The primary learning goal is defined as: *the endpoint course aim or aims, whether certificated or not, or other equivalent objectives to be achieved by the learner within a minimum period of 12 months as set out in the learner's learning agreement with the institution. It excludes provision that is either subsidiary or equivalent to other provision in the same subject already included in the primary learning goal.*

105 Institutions should note that where the primary learning goal is a qualification as described in paragraphs 129–130, Council funding is not currently available under the following circumstances:

- for a qualification not included in a learner's primary learning goal
- for a qualification where the learner is not registered with the awarding body concerned
- where the learner wishes only to study a small part of a qualification and has no intention of completing the full qualification, except for programmes described in paragraphs 136–138, as unitised programmes.

### **Guided learning hour(s)**

106 Guided learning hours (glh) are defined as: *all times when a member of staff is present to give specific guidance towards the course being studied on a programme. This includes lectures, tutorials, and supervised study in, for example, open learning centres and learning workshops. It also includes time spent by staff assessing learners' achievements, for example in the assessment of competence for NVQs. It does not include time spent by staff in the day-to-day marking of assignments or homework where the learner is not present. It does not include hours where supervision or*

*assistance is of a general nature and is not specific to the study of the learners.*

107 Institutions should note particularly the final sentence of the definition and only include as glh, supervision or assistance where provided by a member of staff able to give specific support to the learner. General study time, for example, in a library, should not be included, even though a member of staff is in attendance. Additional guidance on the definition of distance learning and on-line distance learning and the aspects of programmes delivered by these methods which can be funded are set out in paragraphs 183–203 and 214–215 respectively.

108 Where a learner taking an NVQ is being assessed in the workplace by a member of staff employed by the institution, only those hours when the institution's staff are directly assessing the learner's competence should be counted as glh.

### **Length of course for learners aged 16–18**

109 The Council expects learners aged 16–18, either full or part-time, to receive a substantial programme of study, comprising nationally recognised qualifications. The minimum length of course eligible for Council funding for learners of this age group will therefore be 9 glh.

### **Length of course for learners aged 19 and over**

110 For learners aged 19 and over, the minimum course length for Council funding will be 3 glh for specific courses in basic skills or ICT only.<sup>5</sup> For all other subject areas for learners aged 19 and over, the minimum length of course eligible for Council funding will be 6 glh. This applies to each course, or unit in the case of unitised courses, whether loadbanded or individually listed. This will enable institutions to deliver one day course provision where the awarding body specifies the minimum course requirement is for 6 glh.

### **Length of course – unitised provision**

111 Where institutions wish to offer adult learners a programme comprising units of qualifications, to meet specific employment or individual needs, each unit must be a minimum of 6 glh.

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<sup>5</sup> Note that this excludes distance learning courses, see paragraph 197

## Length of programme – distance learning programmes

112 The minimum course length for programmes delivered by distance learning are:

Learners	Minimum total glh (ie. glh + enhanced glh)
16–18 year olds	9 hours
19 and over	6 hours

The maximum length for programmes or parts of programmes within mixed mode programmes that may be funded via the distance learning tariff is 196 enhanced glh, which equates to 14 distance guided learning hours (dglh). Institutions wishing to provide programmes with more than 14 dglh should contact the funding team at the Council's Coventry office. Programmes of 3 glh may not be funded under the distance learning tariff.

## Length of course – programmes delivered in the workplace

113 In the case of programmes provided in the workplace, including those delivered by the accreditation of prior learning, and/or by distance learning, or in the case of learners with learning difficulties and/or disabilities, or the equivalent of the workplace, the maximum length of delivery of such programmes will normally be 329 glh a year. This is based on the view that it is unlikely for the number of glh spent in training to exceed a total of 329 hours over the normal working year. An individual cannot be considered to be in full-time education and employment at one and the same time.

## Tri-annual periods

114 The tri-annual periods are defined as:

- 1 August to 31 December
- 1 January to 30 April
- 1 May to 31 July.

115 On-programme units, tuition fee remission units, additional support units and widening participation units are earned by an institution for each tri-annual period wholly or partly completed by a learner. The funding calculations in support of a claim for units for each of these elements are set out in Part C.

116 A learner is deemed to have wholly or partly completed a period where:

- the learner is enrolled at and attending the institution on the census day for the period
- the learner's programme began and finished between any two census dates. In this case, the learner is deemed to have wholly or partly attended one period only, even where their programme actually spans two tri-annual periods.

117 Learners who have withdrawn from a programme by the census date should not be counted as wholly or partly completing that period. Further guidance on the definition of withdrawal from a learning programme is provided in annex B to FEFC Circular 94/29: *Arrangements for Claiming Demand-led Element in Respect of 1994-95* and in table 4 of supplement C to FEFC Circular 99/43: *Audit of 1998-99 Final Funding Unit Claim and of the 1998-99 Individualised Student Record Data*.

118 Particular care should be taken to monitor withdrawals in flexible open learning and in distance learning. The monitoring of withdrawal in Information and Communications Technology (ICT) centres appears to be problematic in some cases. In a few instances, it appears that institutions have artificially manipulated the learner's attendance pattern, by, for instance, requiring attendance of 6 hours a week over 20 weeks to enable 120 glh to be claimed at the census date, when fewer glh have actually been delivered. External auditors will be asked to undertake additional checks on the glh claimed for this type of provision, including the pattern of withdrawals in 2000-01 and in 2001-02

## Census dates

119 The census dates are 1 November, 1 February and 15 May. Where a census date falls on a weekend or public holiday, the next working day is the census day.

## Start period

120 The start period for a learner is the first tri-annual period in which an institution can claim units for that learner. It is determined by the date on which the learner's learning programme begins and ends. Table 1 gives more detail.



**Table 1. Learning programmes and their corresponding start periods**

<i>Learning programme</i>	<i>Start period</i>
Starts between 1 Aug and 1 Nov 2001	autumn 2001 (1 Aug–31 Dec)
Starts and finishes between 2 Nov and 31 Dec 2001	autumn 2001 (1 Aug–31 Dec)
Starts between 2 Nov and 31 Dec 2001 and continues into the next tri-annual period	spring 2002 (1 Jan–30 Apr)
Starts between 1 Jan and 1 Feb 2002	spring 2002 (1 Jan–30 Apr)
Starts and finishes between 2 Feb and 30 Apr 2002	spring 2002 (1 Jan–30 Apr)
Starts between 2 Feb and 30 Apr 2002 and continues into the next tri-annual period	summer 2002 (1 May–31 Jul)
Starts between 1 May and 15 May 2002	summer 2002 (1 May–31 Jul)
Starts and finishes between 16 May and 31 July	summer 2002 (1 May–31 Jul)
Starts between 16 May and 31 Jul 2002 and continues into the next teaching year	autumn 2002(1 August–31 Dec)

121 Guidance on length of programme and the associated funding units is set out at Part C.

### **Length of loadbanded programmes**

122 There is theoretically, no limit in time to the number of years a learner may take to complete a programme of study. However, the length of programme should relate to the course and/or the needs of the learner and be identified in the learning agreement. It is expected that further guidance on the appropriate length of particular courses will be provided by the QCA and through inspection evidence.

123 In the meantime, institutions are not expected to elongate programmes of study artificially simply to maximise their funding unit claim. Learners should be encouraged and supported to achieve their learning goal in as short a time as possible. For instance, learners on basic skills programmes, including ESOL, will be expected to progress within a reasonable length of time. In this instance, it may be that shorter more intensive and more substantial programmes are more effective in enabling learners to improve their language, literacy, or numeracy than very part-time programmes spread over a number of years. Learners on distance learning programmes, however, may be expected in certain cases, to take a longer time to achieve the learning outcome than if they were attending the institution to study. It should be noted that awarding bodies generally set a limit of five years for the achievement of a learning outcome by distance learning. Access

to day schools and additional group or individual tutorial sessions may be helpful in supporting distance learning learners to achieve their learning outcomes in as short a time as possible.

124 The values of on-programme units for individually listed programmes will continue to be available for a learner who has completed a learning programme irrespective of the time actually taken, subject to the Council's minimum thresholds for glh, guidance on work-based learning and the effects of the taper. For example, while a BTEC National Diploma normally takes two years to complete, the full value of units listed is available even if the programme is completed in 18 months. This is intended to provide an incentive to institutions to find ways to deliver their programmes more cost-effectively. Conversely, where a programme takes longer than 'normal', an institution may not claim more on-programme units than the value listed. In situations in which a course has more than one individually listed value, for example the General Certificate of Education (GCE), institutions should claim the most appropriate value.

### **Repeal of Schedule 2**

125 By the repeal of Schedule 2 of the *Further and Higher Education Act 1992* the *Learning and Skills Act 2000* has removed the awkward and artificial distinction between funded qualifications, covered by the Schedule 2, and those outside it which were ineligible for funding.

126 The *Learning and Skills Act 2000* recognises two types of provision. These are:

- qualifications approved by the secretary of state under sections 96 and 97 and
- all other provision.

### **Qualifications approved by the secretary of state**

127 The secretary of state will approve qualifications under section 96 of the Act for learners under 19 in the near future. This will be followed by approval of qualifications for learners over 19 under section 97 of the Act.

128 Until the qualifications for each age group are approved, the Council will use, for all eligible learners, the list of qualifications that the secretary of state intends to approve. This list was published by the DfEE on 29 December 2000 under the title of *Approved External Qualifications under Section 96 of the Learning and Skills Act 2000 for Pupils, Students and Trainees under the age of 19*.<sup>6</sup>

### **Other provision**

129 All provision not included on the list in paragraph 128 will be eligible for funding and is available to all eligible learners over compulsory school leaving age. Other provision may, or may not, lead to external certification.

130 All provision eligible for funding in 2000-01 should therefore remain eligible in 2001-02. Where institutions believe that this may not be the case they should contact their LLSC for guidance.

### **Eligibility for funding of other provision that is certificated by the institution**

131 These arrangements for other provision should ensure that all learners, including those with profound and complex needs, are able to access education and/or training. Programmes or elements of programmes specifically designed for learners with learning difficulties and/or disabilities are eligible for funding, under the heading of 'other

provision' (programmes may also include qualifications or parts of qualifications). In order to include all learners and different types of provision and providers, the determining factors for funding eligibility should relate to the programme, its structure and its delivery.

132 The Council will consult during 2001 on the introduction of a framework for ensuring eligibility under the heading of other provision from September 2002 onwards.

## **Summary – Provision Eligible for Funding in 2001-02**

133 Thus the following programmes will be eligible for funding in 2001-02:

- **Qualifications** approved by the secretary of state under S96. These are available to all eligible learners and programmes must lead to an accredited qualification or units of an accredited qualification.
- **Other provision** available to all eligible learners and comprising:
  - Courses leading to other externally awarded certificates
  - Courses leading to institution certificates
  - Courses leading to non-certificated outcomes.

### **Access to higher education**

134 Funding will continue to be available for courses listed as Access to Higher Education programmes. These courses prepare adult learners from non-traditional backgrounds and under-represented groups for admission to undergraduate education. Information concerning these including a listing of those available, is set out on the UCAS website at: [wwwucas.ac.uk/access](http://wwwucas.ac.uk/access). Institutions are reminded that learners on these courses should be aged 21 or over at the start of the course unless there are exceptional circumstances.

### **Entry level**

135 Entry level is the first level of the national qualifications framework, lying below level one. It is sub-divided into three levels (one, two and three) which are broadly comparable with levels one, two and three in the National Curriculum. The range of qualifications covered is below the level of GCSE

<sup>6</sup> Published by the DfEE and can be accessed on their website at [www.dfes.gov.uk/section96](http://www.dfes.gov.uk/section96). Paper copies are available from DfEE Publications: telephone 0845 60 222 60; fax 0845 60 333 60; textphone 0845 60 555 60; e-mail [dfes@prologistics.co.uk](mailto:dfes@prologistics.co.uk). However, institutions should note that some qualifications on this initial list are those approved until 31 July 2002 under schedule 2(a) of the *Further and Higher Education Act 1992*; a number of which would not normally be appropriate for learners under 19

grade G, and includes vocational and skills-based qualifications. The S96 list contains the entry level qualifications that can be used. Those that have been accredited by QCA are described as entry level certificates of achievement.

### **Unitisation**

136 The Council acknowledges that as unitisation develops in institutions it will evolve to take account of the removal of the distinction between qualifications covered by S96 and those outside it. However, the funding of unitised provision continues to apply only to students aged 19 and above.

137 The Council will expect all unitised programmes to have coherence within a clearly stated rationale for an identified target learner group. This may involve one, two or more units taken from S96 qualifications or other externally certificated provision. Each unit must be a minimum of 6 glh. There will normally be some common provision for all learners in the group, but with flexibility for creating programmes to meet individual needs. Each programme should better enable progression to further training, learning or employment, take account of the individual learner's needs regarding IT and basic/key skills and meet the rationale for offering the identified programme.

138 Units from provision at different levels may be combined but all units included in the programme should be recognised as complete units by the appropriate awarding body and the learner must register for each unit in their programme with the awarding body. Institutions may wish to seek confirmation from the awarding body (or bodies) that they will accept candidates registered on unitised programmes. It is expected that the units themselves will be delivered in the glh normally allocated to the same units in the institution's standard provision, that is, the Council does not expect institutions artificially to extend the glh of units in unitised programmes. Further information on the design of unitised provision will appear on the Council's website.

### **Provision for learners with learning difficulties and/or disabilities**

139 In discharging its functions for the provision of education and training the Council must have regard to the needs of persons with learning difficulties and/or disabilities. If the Council is satisfied that it cannot secure the provision of facilities for education

or training which are sufficient in quantity and adequate in quality for a person with a learning difficulty who is aged 16 to 19 or the provision of reasonable facilities for a person who is 19 but has not attained the age of 25 unless it also secures boarding accommodation, it must secure that accommodation.

### **Provision by health authorities or social services**

140 The Council's remit does not extend to funding types of provision for people with learning difficulties and/or disabilities that are the responsibility of other agencies such as health authorities and social services. Joint funding of integrated packages of learning and care, however, will continue to be appropriate in some circumstances. The Council will encourage agencies to work together at local level to develop joint packages of funding for programmes and activities for individuals. Institutions should consult their LLSC when planning such provision. Further guidance on funding for individual learners with learning difficulties and/or disabilities has been published in FEFC Circular 01/03.

### **Entitlement curriculum for full-time 16–18 year-old learners**

141 The funding arrangements for Curriculum 2000 introduced an entitlement to key skills, tutorial and enrichment activities for all full-time 16–18 year-olds starting programmes from the 2000-01 teaching year onward. The Council expects that the teaching time devoted to this element will be approximately four or five hours a week, broadly similar to AS/A level. Eight basic on-programme units (bopus) per period, (24 units a year), may be claimed for the key skills, tutorial and enrichment entitlement, reflecting its broad equivalence to the teaching time expected for a GCE A level over two years. These bopus will attract fee remission.

142 To be eligible for this Council funded entitlement, learners must be:

- aged under 19 on 31 August in the calendar year in which they start their programme of study
- studying on a full-time basis, defined as undertaking a main programme generating at least 16 bopus per period, equivalent to 48 bopus per year

- aiming to achieve all three elements of the new QCA key skills qualification, that is, communication, application of number and information technology.

143 All three criteria should normally be met.

Where, however, a learner has learning difficulties and/or disabilities which make level 1 of the QCA key skills qualification inappropriate, institutions may still claim entitlement funding if this learner is enrolled on appropriate entry level alternatives in each of the three areas.

### **Tutorial and enrichment**

144 Some examples of appropriate enrichment activities are:

- careers guidance
- sports
- music, dance and drama
- Young Enterprise and Duke of Edinburgh awards
- health education
- use of learning resource centres.

145 For 16–18 year-old full-time learners, guidance, tutorial skills and study skills come from within the entitlement and will not be funded as additionality.

146 Part-time jobs undertaken by learners would not be eligible for funding as enrichment activities under the entitlement except in exceptional circumstances. Work experience will be considered eligible for funding as an enrichment activity only where this is a structured activity with some tutor input. However, where work experience is provided as a mandatory element of a qualification, it is deemed to be part of the main qualification and there should be no claim for enrichment activity.

### **Key skills**

147 The compulsory key skills qualification recognises achievement in communication, application of number and information technology. Awarding bodies offering these qualifications are identified in the S96 list under key skills. Each of these key skills constitutes a qualification. Whilst it is not compulsory for full-time 16–18 year old learners to take these qualifications, it is strongly recommended by the government and is one of the criteria for Curriculum 2000 entitlement funding (see paragraph 142). Learners do not need to study

at the same level for each of the key skills, they should study at the level most appropriate to their needs.

148 Achievement units may be claimed for each key skill qualification successfully completed by a learner. Where a learner in receipt of Curriculum 2000 entitlement funding achieves all three of the compulsory key skills qualifications during the first year of their programme, and goes on to achieve the next level in the key skills in the second or subsequent years of their programme, achievement units may be claimed for each key skill at each level. The Council, in line with government policy, would encourage institutions to enable learners to progress towards appropriate key skills levels throughout the whole of their programme. However, the Council accepts that within a multi-year programme the needs of the learner may in some cases require, for example, the delivery of key skills early in the programme and enrichment later in the programme. Under these circumstances the full entitlement units may still be claimed provided the overall glh for entitlement are in accordance with paragraph 141.

149 There are a number of qualification aims which relate to the S96 key skills qualifications, for example computer literacy and information technology (CLAIT). Such qualifications appear on a key-skills lookalike list, which is available on the Council's web-site. For students receiving funding for the Curriculum 2000 entitlement, no additional funding will be available if these students are also enrolled on a qualification which appears on the key skills look-alike list. In addition, no further funding will be available for such students if they are enrolled on institution certificated or non-certificated provision in literacy, numeracy or ICT at the same level as the QCA key skills qualification which they are aiming to achieve.

150 For the purposes of entitlement funding, where the glh for key skills are integrated into the learner's main programme, it is expected that the recorded glh for the main programme will increase proportionately. Additional hours for the tutorial and enrichment parts of the entitlement package should also be provided. The recommended number of glh for the entitlement package as outlined in paragraph 141 is 4–5 hours a week.

151 The wider key skills, that is, working with others, improving own learning and performance and problem solving, can be provided to learners as

additional units.

152 Funding is available for learners over 19 for key skills qualifications, and for all part-time learners aged 16 and over, including the QCA key skills qualification. These will be loadbanded.

### **Audit evidence – entitlement**

153 To claim the entitlement for 16–18 year olds, institutions should retain auditable evidence that:

- the learner's current learning agreement includes enrolment on and external assessment in all three compulsory key skills, except as in paragraphs 143 and 148
- the learner's current programme includes tutorial and enrichment
- the learner started the programme while under 19 according to the definition as set out in paragraph 74, and is on a full-time course.

154 For learners with learning difficulties and/or disabilities, the institution should include as auditable evidence on the learner's learning agreement assessment, evidence detailing why the key skills qualification is inappropriate and what alternative activity will be provided.

155 Institutions may only claim the enrichment element where the learner is also enrolled on and taking a key skills qualification except as described in paragraphs 143 and 148.

### **Free-standing mathematics units**

156 There are 11 free-standing mathematics units (FSMUs) at foundation, intermediate and advanced levels. Each unit is a national qualification in its own right, accredited by the QCA. The QCA has confirmed that these awards do not relate to the key skill in application of number. The FSMUs may be provided as loadbanded qualifications.

### **GNVQs and AVCEs**

157 GNVQs are available at foundation and intermediate levels for learners beginning new programmes in 2001-02. In 2002-03 they will be replaced by Vocational GCSEs.

158 The advanced GNVQ was renamed the Advanced Vocational Certificate of Education (AVCE) in September 2000. Learners completing advanced GNVQs begun prior to this date may complete under GNVQ funding arrangements.

159 AVCEs are available as subsidiary (3 units) single (6 units) and double (12 units) qualifications.

160 GNVQs and AVCEs are funded as listed qualifications as detailed in annex A except where a learner having previously part finished the GNVQ or AVCE at the same or another institution re-enrols after a break in learning. Under these circumstances the full funding for the qualification is inappropriate and funding for the qualification should be claimed via the loadbands.

### **National vocational qualifications**

161 Where the historical data on delivery glh are robust the Council lists NVQs. For listed NVQs the framework of NVQ delivery methods, the components for which glh may be counted for a learner's learning programme and the number of on-programme units for each method of delivery is set out in Part C. Parts or 'units' of NVQs are eligible for funding as described in paragraph 100. Institutions are advised to check the course database for listing of NVQs. The Council is currently reviewing the listed NVQs. A revised list will be published in the near future.

### **Programmes at higher levels**

162 The Council does not expect to fund further education qualifications or other courses for groups of higher education learners. The funding provided by HEFCE for higher education learners is intended to fund all of the learner's programme. If, in order to gain their higher education qualification, a group of learners require, for example, key skills or additional tuition in mathematics or sports coaching awards, the Council would normally expect this to be funded out of the resources provided by the HEFCE for the higher education programme.

### **Non-prescribed higher education courses**

163 The Council may fund courses that fall outside the schedule of prescribed courses of higher education as defined in the *Education (Prescribed Courses of Higher Education) (Wales) (Amendment) Regulations 1998*. Non-prescribed higher education courses are generally professional leading to accreditation by a professional body. It does not include, for example, part-time certificates in higher education.

164 The Council will fund non-prescribed higher education courses in Council-funded institutions. New courses, or proposals to change the volume of

provision may be considered by the LLSCs in the context of local needs analyses.

165 The QCA is currently reviewing and accrediting qualifications in this area of provision.

### **Prescribed higher education courses**

166 Until August 1999, a number of institutions provided prescribed higher education courses, as defined by the *Education (Prescribed Courses of Higher Education) (England) Regulations 1989*, which were funded by the Council. These programmes were previously funded by the institutions' local education authorities and the funds were subsequently transferred to the FEFC and included in the institutions' allocations for 1993-94. Prescribed higher education has been redefined by the *Education (Prescribed Courses of Higher Education) (Wales) (Amendment) Regulations 1998*. This applies the definition of prescribed higher education previously used in Wales to England.

167 Responsibility for the funding of all prescribed higher education funded by the Council and of Higher National Certificates (HNCs) and Higher National Diplomas (HNDs) in further education institutions and the associated funding transferred to the Higher Education Funding Council for England (HEFCE) from August 1999.

### **Resits**

168 Many learners' learning programmes are designed to enable them to resit GCE A and AS levels, GCSEs or other examinations. Such resits are eligible for Council funding.

169 Where a learner fails to achieve a learning outcome in the expected time span and stays on for additional time to complete, this is not considered to be a resit.

### **Work-based training**

170 For example programmes including:

- Foundation Modern Apprenticeships
- Advanced Modern Apprenticeships
- New Deal
- Life skills
- Preparatory Training
- Time off for study or training.

171 The Council intends to integrate guidance on funding previously provided by Training and

Enterprise Councils and the FEFC for the year 2002-03. For 2001-02 the arrangements detailed below will apply. Institutions should refer to the Operations Guide for details of eligibility for these programmes.

172 These programmes are funded by the Council under funding arrangements for work-based learning detailed in the Council's Operations Guide. The principle of single funding applies to these programmes. Additional Council funding, as described in this document, will therefore not be available for any qualification or programme funded through work-based learning arrangements. Where a learner on a work-based learning programme seeks to follow an additional qualification or programme not funded under the Operations Guide, this qualification or programme may be funded under the funding arrangements outlined in this document (*Guidance on Further Education Funding Eligibility and Rates 2001-02*).

### **Audit evidence – work-based training**

173 Institutions wishing to claim additional funding as described in paragraph 172 should obtain written notification from the LLSC for each learner that the additional programme or qualification claimed is not already funded as work-based training under the arrangements of the Operations Guide. Auditors will require this notification in order to confirm eligibility for funding.

### **Institution apprenticeships**

174 Where an institution is offering a full-time programme for young people who are not in employment, whether or not such a programme involves a work placement, it should make clear in describing the course that it is not within the modern apprenticeships framework, and should also give a clear description of what the course involves. Institutions are reminded that learners attending an institution as part of their modern apprenticeship should be funded under the arrangements of the Council's Operations Guide.

175 Where there is clear evidence that the modern apprenticeship framework for a particular programme area, funded under the Operations Guide, excludes certain qualifications considered essential for the learner's full programme, these may be claimed as eligible for Council funding under the guidance outlined in this document. The institution should retain as auditable evidence the

mapping of the additional qualifications against the framework. Any institution planning to accept learners on programmes in this way should contact their LLSC for advice prior to the start of the programme.

### **Construction apprenticeship scheme**

176 The CITB has established a Construction Apprenticeship Scheme to provide a high quality route for young people entering the construction industry. For the first 39 weeks of the scheme, young people are not in employment and may be enrolled as full-time learners by institutions funded under this document. Institutions should ensure that the learners' programmes lead to appropriate qualifications, normally an NVQ level 1 plus additional GNVQ units.

177 Learners progressing to the next phase of the scheme under Foundation Modern Apprenticeship arrangements leading to NVQ level 2 should be funded as detailed in the Operations Guide. Institutions may not claim additional funding for provision funded under the Operations Guide made for learners in this phase of the scheme. Separate qualification aims may be funded as described in paragraph 172.

### **European funding**

178 The funding arrangements for European Social Fund (ESF) match funding are currently under review and co-financing will be implemented in 2001-02. Until co-financing is introduced the Council can provide match funding towards the costs of the programmes for learners supported through the ESF.

179 EQUAL is a community initiative which receives European funding support of up to 45%. This is to be matched by private funds of at least 20% and by public funds of at least 10% of net eligible expenditure. Council funding can be claimed for eligible provision for the public funding element. Institutions should agree the level of Council funding with their development partner.

180 Institutions are required to claim funding at the correct rate, which is achieved by recording the percentage in fields Q31 or Q32 of the Individualised Student Record (ISR), and, where necessary, using the widening participation factor.

181 The Council does not wish to discourage institutions from securing income from sources

other than the Council. Where an institution succeeds in securing other income, including ESF grant, the Council does not take it into account in determining the distribution of Council funds, neither will it seek to recover such income from an institution.

### **Distance, open, on-line learning and Ufi**

182 The following guidance on distance learning, Ufi, open learning and on-line learning reflects the most recent advice available from the Distributed, Open and Distance Learning (DODL) subgroup of the FEFC's Tariff Advisory Committee, and other sources.

#### **Distance learning programmes (other than Ufi)**

183 The definition of distance learning programmes is: *those on which learners study with specially prepared learning materials for their private study and are provided with active learner support, by suitably qualified staff, to enable them to successfully achieve the outcome identified in their learning agreement. This definition is intended to cover situations in which study is essentially home or work-based and there is only occasional contact with the institution.*

184 The following activities are considered to be examples of distance learning guided learning hours:

- a. one-to-one support provided by:
  - face-to-face tutorials in the institution or in centres located near the learners
  - video conference tutorials
  - telephone tutorials and helplines
  - on-line tutor support;
- b. time spent on marking distance learning material by subject tutors trained in distance learning techniques who provide thorough feedback on learners' assignments including course content, the learners' literacy, numeracy and language skills. This should be demonstrably over and above the service normally provided to learners in a classroom situation. The students' work may be in electronic or paper form.

185 Time spent on delivery of distance learning as outlined in paragraph 184 may be multiplied by the distance learning factor of 14 to obtain the enhanced

guided learning hours to be claimed as outlined in Part C, paragraph 279.

186 The following activities, are not considered to be examples of distance learning but are eligible for funding:

- learning workshops
- open access or drop in centres where the institution provides learning support and counselling services together with access to resources and materials
- group tutorials, including face-to-face, telephone or video conferencing
- on-line tutorials delivered to a group of students simultaneously.

187 Time spent on the activities outlined in paragraph 186, activities will be funded as guided learning hours that is, without application of the multiplication factor.

188 The following activities, which may form part of a distance learning programme, are examples of activities that are not eligible for Council funding:

- time spent by administration staff monitoring students continued participation
- self help student groups, either on-line or in groups where there is no tutor contact
- administrative contact with learners
- chat rooms
- staff administering a marking template
- time spent on homework or assignments or other course work (as part of conventional delivery)
- time spent by students accessing learning materials (including on-line access) where there is no tutor contact.

189 The Council wishes to encourage institutions to develop programmes utilising distance learning, particularly where distance learning forms an integral part of an integrated programme employing conventional delivery. In recognition of the additional costs of providing distance learning, which often requires one-to-one contact, the Council has introduced enhanced funding for distance learning.

190 Two types of delivery will be eligible for this enhanced funding:

- complete programmes of distance learning

- mixed mode programmes involving at least 50% of distance learning, measured by the number of enhanced guided learning hours, plus conventional delivery. The Council does not expect institutions to claim as distance learning programmes where the main learning programme is delivered in the classroom, workshop etc. and a minority remains to be studied as homework assignments. Time spent on assignments, homework and other course work is not considered to be guided learning.

### **Distance learning – programme design**

191 Both types of delivery should be complete programmes which will include:

- initial assessment to ensure that the programme and the mode of delivery is appropriate to the needs of the learner
- induction
- specialist tutor support
- technician support where relevant
- counselling and guidance
- additional support should be provided where necessary and appropriate.

Institutions should be able to demonstrate that learners have access to the same level of support as learners who attend traditional classroom based delivery, including fee remission and childcare. The glh delivered in distance learning must be no less than 5% of the class contact time that a learner would expect to receive in a traditional classroom-based situation for the same course except in exceptional circumstances. In addition group contact is strongly encouraged.

192 Learning materials may be provided by paper-based correspondence course, by video or audio tape, by accessing material on-line via the Internet or be supplied on other media.

193 The Council does not expect that NVQs will be gained entirely by distance learning due to the nature of the assessment process.

194 It is considered that distance learning students should be encouraged and supported to achieve the qualification or course in as short a time as possible to minimise the possibility of drop-out or non-completion. However, in some circumstances, it is accepted that the programme may take longer to



achieve than if delivered by conventional means. It is considered unlikely that the programme should take longer than five years. This is consistent with the stance of awarding bodies on length of time taken to complete a qualification.

195 Distance learning students should be resident in England, with the exception of those detailed in paragraphs 52–54 and otherwise eligible for Council funding.

196 The local priorities guidance detailed in FEFC Circular 99/39 applies equally to distance learning as it does to programmes delivered by conventional means.

197 Short courses of 3 glh, which would represent 180 minutes divided by the multiplication factor of 14 which equals 13 minutes of distance learning study, are not eligible for funding as distance learning. Programmes of between 6 and 196 enhanced guided learning hours are eligible for funding.<sup>7</sup>

### **Distance learning – withdrawal**

198 The Council's rules for determining withdrawal (see paragraph 117 and the circulars referred to therein) apply equally to distance learning students. Thus, for distance learning programmes with a planned duration of greater than four weeks a learner should be considered to have withdrawn where he or she fails to make planned contact and four weeks or more have elapsed. For programmes with a shorter planned duration, a learner should be considered to have withdrawn if he or she fails to participate in the programme at least once after enrolment. All learners, regardless of planned programme length, should be recorded as withdrawn if they are known to have done so. The withdrawal date is the date of the first planned contact missed by the learner.

### ***Audit evidence – distance learning programmes***

199 Programmes of distance learning require institutions to accurately record and retain evidence of actual student contact to be claimed as distance learning hours. Where no guided learning can be evidenced then no Council funding may be claimed.

200 The Council will request additional audit checks on all programmes delivered by distance learning in 2001-02 and in 2002-03. This will

inform the further review of the funding rates. Institutions should note that distance learning provision is identified as a risk factor in annex A to supplement B in FEFC Circular 99/43 when planning the provision.

201 The minimum number of actual glh to be delivered as an entitlement to the learner by distance learning should be clearly identified in the course literature, any publicity material and in the learner's learning agreement. It is expected that an active learner's contact with their tutor should be sufficient to maintain a level of support appropriate for a learner aiming to achieve the learning outcome concerned. An institution should always take active measures to ensure that the learner is continuing on the programme and has not withdrawn, for example, by providing a planned timetable for the receipt of assignments and then checking with learners who have not provided an assignment on the due date. It is not good practice to leave it to the learner to initiate any tutorial contact.

202 A contact is receipt of work or projects by the tutor, or a meeting or telephone call between the learner and the learner's tutor. A log of all learner contact for each learner should be retained as audit evidence.

203 The Council would expect an active learner to produce a minimum of one piece of assessed work (for example, a written assignment) in each tri-annual period. Good practice suggests that learners should be contacted at regular intervals to check that they are still following the programme. It is not acceptable to assume that silence means a learner is 'continuing'. These regular checks by administrative staff should not be counted towards the calculation of glh.

### **Open learning**

204 The definition of open learning programmes is: *open learning programmes are those which are taught with specially prepared learning materials for private study and provide a marking and comment service for written work which may be accompanied by some counselling or tutorial support.* This definition is not intended to cover situations in which study is essentially home-based or remote and there is only occasional contact with the institution. It does include learning support workshops, open access and/or drop in centres where the institution provides learning support and

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<sup>7</sup> 6 glh courses are not available to learners aged 16–18

counselling facilities, together with access to materials and resources.

205 For open learning programmes, institutions may claim the normal value of the units for the course, shown in annex A. This applies to paper-based open learning courses, or those where materials are delivered on-line within the centre. The interim tariff does not apply. For advice on the treatment of programmes delivered by a mixture of distance and open learning see paragraph 280–282.

### ***Audit evidence – open learning***

206 Institutions should be realistic in the length of time assigned to a particular course delivered by open learning. For example, for a course which is normally delivered in 120 glh in a traditional setting, the institution should not seek to require learners to adopt an unreasonable attendance pattern which they are unlikely to achieve, and which does not necessarily meet their individual needs. For instance, it does not seem reasonable to require all learners to adopt the same attendance pattern if open learning is truly to meet the learners' needs. In some IT centres with apparently flexible attendance, the day has been broken down into 2-hour periods. Learners are required to book sessions in advance. There is also the added requirement to attend for 6 hours per week for 20 weeks irrespective of learner need or ability to attend. This practice has led to institutions drawing down the units for the 120 glh at the end of the 20 weeks irrespective of the actual attendance of the learner or whether they have completed the course. This may lead to an over-claim of units. It is questionable if this type of centre with restricted flexibility offers learners the best value as inspectorate evidence is that the achievement rate is relatively low. The Council will ask external auditors to undertake additional checks on this type of provision. The Council intends to monitor the claim for units to identify institutions where this appears to be a feature whether through open learning or elsewhere in the institution.

### **University for Industry**

207 The FEFC provided for development activity for the Ufi in 1999–2000 and is now funding Ufi hubs and learning centres. A minority of learning centres are Council-funded institutions. Around 700 Ufi learning centres under the brand name 'learndirect' have been established. Details of the allocations

procedure for Ufi hubs and learning centres are set out in separate Ufi Guidance Notes.

208 Ufi provision is intended primarily for adults who are new to learning. Sixteen to eighteen year olds and adults already enrolled on learning programmes will only be eligible for Ufi under exceptional circumstances.

209 In 2000–01 each hub partnership had to nominate an institution ('recipient institution') to receive funding from the Council. The recipient institution is responsible for putting in place the quality assurance, audit and monitoring arrangements on behalf of the hub. These arrangements were necessitated by the statutory powers, and their limitations, of the FEFC. The same constraints do not apply to the Learning and Skills Council. It is anticipated that in 2001–02, some hubs will be directly funded while others continue to receive funding through a recipient institution. Further guidance on these matters will be issued separately.

210 The majority of learndirect learning opportunities are short courses with no accredited outcome, although packages may link together to lead to an externally accredited certificate. These short opportunities for learning are intended to reach a wider range of learners than are traditionally attracted to education and training, and to offer access to a wide range of learning opportunities including basic computer literacy and basic skills.

211 Ufi publishes a list of learning packages. The list is updated regularly. The funding value of each package is agreed with the Council and is included in the course database. Not all learndirect courses attract Council funding.

### ***Audit evidence – University for Industry***

212 Further guidance on the audit evidence required is detailed in FEFC Circular 99/43 and in Ufi guidance notes – specifically 2000–24. Particular care should be taken to ensure that learners claimed as Ufi learners are not claimed for funding elsewhere in the institution or as learners with other hub partners at one and the same time. Only recipient institutions (and hubs) may claim Council funds. Please refer to the section on duplicate learners in annex G of supplement B to FEFC Circular 99/43.

213 For Ufi provision, a learner should be considered to have withdrawn where four weeks have elapsed with no contact made by the tutor or the learner. Where a learner expects to complete a programme in less than four weeks they would attract entry (if relevant) and on-programme units even if he or she failed to complete the planned learning outcomes providing:

- he or she participated in the programme at least once after enrolment (attendance at centre or log-on to learning materials)
- he or she was not known to have withdrawn.

A contact is receipt of work or projects by the tutor (electronic or hard copy), a recorded interaction with the Ufi learning environment, or any communication with the tutor which indicated that the learner was still active on his/her course.

### **On-line distance learning courses**

214 In March 2000, the FEFC agreed that the interim national rate for distance learning (see paragraph 279) should form the basis of the formula for all qualifications delivered by on-line distance learning.

215 As this is still a relatively new method of delivery, institutions are requested to contact the LLSC in advance of the delivery of the programme with details of the course, the client group and to confirm the number of units they intend to claim. This will also enable the Council to monitor the growth of on-line distance learning. There is substantial evidence, including that from the recent *National Report from the Inspectorate on Open and Distance Learning* (November 2000), that learners whose programme is delivered entirely by distance learning have poor completion and success rates. For this reason, the Council would expect institutions which propose to deliver such courses to make a coherent plan for the programme's design and implementation.

### ***Audit evidence – on-line distance learning courses***

216 Until such time as robust, reliable and accurate electronic tracking systems become available, institutions are expected to maintain audit evidence of activity including a signed learning agreement and a record of the glh as described in paragraphs 278–282.

### **Programmes not funded by the Council**

217 The following programmes are not eligible for Council funding:

- inward collaborative provision
- prescribed higher education
- programmes funded under the following schemes:
  - Advanced and Foundation Modern Apprenticeships, Life Skills, the Learning Gateway and all other training funded under New Deal Options
  - full cost recovery programmes
  - higher education learners on prescribed higher education provision, including HNDs and HNCs
- any other programmes not covered by paragraphs 95 to 99.

### **Types of delivery**

218 The Council recognises two types of delivery arrangement: direct and franchised. However, some direct provision is delivered with a partner. The following table may help institutions distinguish between direct provision delivered with a partner, and franchised provision.

**Table 2. Types of partnership and franchise arrangements**

<i>Service Provided</i>	<i>Direct (institution)</i>	<i>Direct with partner</i>	<i>Franchised</i>
Employer of teaching staff	Institution (may use a recognised employment/staffing agency or self-employed staff)	Institution (the institution may use a recognised employment/staffing agency or self-employed staff)	Franchisee via an employment relationship. See annex B paragraph 8 of FEFC Circular 99/37
Venue, including lighting, heating, caretaking	Institution	Partner	Institution or franchisee
Facilities e.g. computer hardware/software	Institution	Partner	Franchisee
Teaching and learning resources	Institution	Institution/partner	Franchisee
Responsibility for quality and audit	Institution	Institution	Institution
Marketing	Institution	Institution or partner	Institution or franchisee
Advice and guidance	Institution	Institution	Determined by institution and carried out by institution or franchisee
Enrolment procedures	Determined by institution and carried out by institution	Determined by institution and carried out by institution	Determined by institution and carried out by institution or franchisee
Teach learners	Institution	Institution	Franchisee
Teacher development	Institution	Institution	Institution/franchisee
Learner charter	Institution	Institution	Institution
Additional support	Institution	Institution	Provided by franchisee or access to institution support
Monitor the programmes – quality assurance and learner record sampling checks	Constant monitoring	Constant monitoring including scheduled visiting	Constant monitoring including scheduled and unannounced visits by institution
Nature of contract	None	Based on resources provided rather than volume of provision	Based on volume of provision
Accreditation with awarding body	Institution	Institution	Institution (other than in exceptional circumstances)
Subject to franchising discount	No	No	Yes (other than in community based and widening-participation provision)

# Part C: Funding Rates 2001-02

## Calculation of Units: General Principles

219 The funding rates enable each institution to determine the total number of funding units that may be earned for each learner enrolled at the institution. The categories of provision included in the rates are:

- entry element
- on-programme element
- achievement element
- tuition fee remission
- additional support
- widening participation.

The funding calculated using the categories of provision above is subject to the following limits and discounts where appropriate:

- funding taper, paragraph 293
- employer dedicated provision discount, paragraphs 301–304
- franchising discount, paragraph 305.

### Entry element

220 The entry element is defined as: *'all activities leading to the enrolment of a learner on a learning programme.'* Institutions are entitled to:

- 0.5 units for: short programmes of less than 2 bopu
- 2 units for: short programmes of 2 or more and fewer than 3.8 bopu
- 4 units for: 3.8 or more and 10 or fewer bopu; any adult basic education or ESOL programme of 2 or more bopu; non-schedule 2 projects
- 8 units for: learning programmes of more than 10 bopu and any adult basic education or ESOL programme of 3.8 or more bopu and non-schedule 2 projects.

221 To qualify for funding units, each learner must either be enrolled and considered not to have withdrawn from their learning programme on the first census date following the start of their learning programme or have started and completed their learning programme between two census dates.

222 A learner who completes a course other than a 3 glh course and re-enrols in the same 12-month period to take another course should have their learning programme revised and no additional entry units should be claimed. Institutions may claim a maximum of 8 entry units for each learner in any 12-month period.

223 Each learner will attract a single entry element for a single learning programme including programmes that last more than one year. Where, for example, a learner is on a two-year programme, the entry element may only be claimed once. It may not be claimed at the beginning of the second or any subsequent year of study planned in the learner's learning agreement.

224 Following the seminar in December 2000 which consulted the sector on the implementation of Curriculum 2000, the Council confirms that students progressing from AS to complete A level qualifications will not be eligible for additional entry units, as it is considered that the funding for entitlement during the AS should include advice on progression to complete A levels. Students completing a full qualification such as GNVQ Intermediate and progressing, as part of a new learning programme to, for example, an AVCE, continue to be eligible for entry units at the start of the new learning programme.

225 Institutions should note that learners having completed one of the 3 or 6 glh courses will still qualify for entry units when enrolling on a more substantial main programme, subject to a maximum of 8 per 12 month period.

226 Institutions should check when completing the learning agreement whether the learner is enrolled at another institution. In this case, the enrolling institution should request a copy of the learning agreement and retain this as audit evidence.

227 As part of the entry process learners should be advised that, if they are enrolling on courses leading to qualifications eligible under Section 96 of the *Learning and Skills Act 2000*, they will be expected to enter/register for the examination or equivalent at the appropriate time.

228 To claim entry units, it will not be necessary for all the initial assessment and guidance activities to take place within the first few days of a learner's arrival in an institution. Institutions will be able to support their claims for entry units with evidence of assessment activities that have been extended to

give learners greater opportunity to identify the most appropriate programmes. Further assessment and guidance activities are considered a normal part of a learner's programme and are reflected in the value of on-programme units. Entry units should not be claimed where a learner has no real choice in the programme followed, for example where an employer determines the course of study, or where a severely restricted range of courses is offered.

229 The additional costs of specialist assessments of learners with learning difficulties and/or disabilities should be included in the additional support costs form (see paragraphs 320–341 and annex B).

### ***Audit evidence – entry units***

230 The audit evidence which an institution should retain in support of a claim for entry units shall be a learning agreement signed on behalf of the institution and by the learner. All learners funded by the Council should have a learning agreement. The agreement should include the following key details of the learner's planned learning programme:

- the learner's name and address
- where provision for the learner is franchised to another organisation, the name of the franchisee
- the primary learning goal with start and end dates for all qualifications or other provision
- the number of glh planned in each year of the programme (both for individually listed qualifications and for programmes which fall in the loadbands)
- the average weekly glh planned for the programme the number of tri-annual periods in which it is planned to complete the programme
- a summary of any additional support to be provided to the learner
- where relevant, a statement that the learner falls within the Council's tuition fee remission policy and that the institution has agreed to remit 100% of the tuition fee that would otherwise be charged to the learner (see paragraphs 306–16)
- evidence, where appropriate that the learner is eligible to receive Council funding

- evidence of the assessment and guidance process by which the learning agreement was reached.

231 The evidence of the assessment and guidance process which the Council will accept as satisfactory is set out in FEFC Circular 94/16: *Recurrent Funding Methodology: Audit Evidence for Entry Units* as modified by FEFC Circular 94/23: *Modified Audit Evidence for Entry Units in 1994-95*. In summary, institutions should provide confirmation that the following four broad areas have been covered, albeit with the appropriate emphases for different types of learner:

- implications of the choice of learning programme
- the entry requirements of the learning programme
- an assessment of the suitability of the learning programme
- support for the learner.

232 In addition the evidence should include:

- a brief description of the nature of the procedures and when they occurred
- the signature of the appropriate members of staff and the learner to confirm that the procedures have been carried out; where the procedures or reference to the procedures are included in the learning agreement the signature at the end of the agreement by or on behalf of the learner will be sufficient.

233 The Council recognises that different procedures and different emphases will be appropriate to different types of learner, but evidence will be required of the process used for each learner for whom an institution wishes to claim entry units. It is for each institution to decide what procedures to carry out, but any institution that chooses not to carry out any procedures at all will not be able to claim entry units.

234 Institutions will wish to give particular attention to ensuring that there is appropriate evidence of assessment and guidance for short courses. Institutions may wish to consider including information on their assessment and guidance procedures in their prospectus, so that learners could be made aware of the matters to be considered when they enrol at the institution.

235 For distance learning, institutions should be able to demonstrate that each learner has received impartial advice and guidance and had access to initial assessment. In order to claim entry units, institutions must be able to demonstrate that individual assessment and guidance has taken place. This should include assessment that the course is suitable to meet the learner's needs and includes the assessment of the suitability of this method of learning for the learner. A claim for entry units is unlikely to be met where an institution uses mass marketing techniques that are not supported by subsequent individual assessment and impartial guidance.

236 There will be no evaluation of the assessment and guidance process by the external auditors. The quality of each institution's initial entry and guidance procedures will be a matter to be considered by the Adult Learning Inspectorate (ALI) and Ofsted, as part of their planned inspection cycles.

### On-programme element

237 The on-programme element is defined as: *all activities of learning and accreditation of achievement, including assessment, general and specific learner support services, and enrichment activities.*

238 It includes the following activities:

- induction
- the type of learning programme including the pattern of attendance
- specific additional support provided to learners with learning difficulties and/or disabilities
- the accreditation of prior learning
- assessment
- guidance and counselling throughout the programme up to the point of the learner's departure from the institution
- learner support services
- programme review
- establishing the ethos of the institution, and
- providing guidance on future opportunities.

### Value of units for on-programme

239 The value of on-programme units available for all courses has two components:

- a value of basic on-programme units (bopus)
- a cost weighting factor.

240 The value of basic on-programme units is intended to represent the volume of on-programme activities required to deliver a course to the point of completion. The cost weighting factor is intended to reflect the relative intrinsic costs of programmes including staffing, consumables, space occupancy costs, capital equipment and building costs.

241 On the recommendation of the FEFC's Tariff Advisory Committee and after consultation, the FEFC assigned a cost weighting factor to each qualification. There are five cost weighting factors, shown in table 3. These factors will be reviewed during 2001-02 for implementation after August 2002.

**Table 3. Cost weighting factors**

<i>Cost weighting factor</i>	<i>Value</i>
A	1.0
B	1.2
C	1.5
D	2.0
E	2.2

242 To obtain the value of on-programme units available for a given course, an institution should identify the cost weighting factor assigned to the course in question and multiply the cost weighting factor by the bopus to obtain the rate for the course.

243 Courses are listed in the tariff in two ways:

- individually listed courses
- courses in loadbands.

244 Where a course is completed in fewer tri-annual periods than expected, the full value of units for the course may be claimed, subject to the effect of the taper. The bopus expected to be generated in periods after the actual end period are all added to the last period's total. This total is subject to the taper.

## Individually listed courses

245 The funding values for listed qualifications or courses in 2001-02 are unchanged from 2000-01.

246 The funding values for generic individually listed courses for 2001-02 and their values of on-programme units are set out in annex A. The values of units listed in the annex exclude tuition fee remission and exclude additional support. The funding values for other listed courses are available from the course database and from the research and statistics teams at the Council.

247 The values of units for individually listed courses are available for a learner who has completed the course irrespective of the time actually taken, subject to the funding taper and the Council's guidance on work-based learning. For example, while a BTEC National Diploma normally takes two years to complete, the full value of units listed is available even if the qualification is completed in 18 months. This is intended to provide an incentive to institutions to find ways to deliver their programmes more cost-effectively. Conversely, where a course takes longer than 'normal' an institution may not claim more on-programme units than the value listed. In situations where a qualification has more than one individually listed value, for example GCEs and some NVQs, institutions should claim the most appropriate value. For distance learning, see paragraphs 278–282.

248 To calculate the value of units that may be claimed for each tri-annual period for individually listed qualifications, the value of units listed in the tariff to complete the qualification should be divided by the planned number of periods to complete the qualification.

## Loadbands

249 The values of on-programme units which are available for all courses not individually listed in the tariff may be determined by assigning the course in question to a loadband based on the expected glh for the course.<sup>8</sup> In the loadband method, used prior to 2000-01, the BOPUs were based on the total learner programme. In the revised method used in 2000-01 and in the current year, each course is considered separately.

250 The values of on-programme units available for the loadbands in 2001-02 are set out in annex A. Institutions are reminded that some NVQs remain in

the loadbands and are advised to check on the course database.

251 To determine the value of units available for a particular course which is not individually listed, the institution should:

- determine the total expected glh for the course. This is the number of hours initially planned for delivery of the course, as identified in the learner's learning agreement
- refer to annex A to determine the entry units available
- identify the CWF for the programme
- referring to annex A, determine which band the glh for the course falls into
- look up the on-programme units, fee remission units, and achievement units for the load band in the same way as for listed courses.

252 Institutions should note that the funding taper applies to both loadbanded and individually listed qualifications.

## Adult basic education (including ESOL) – programme area 10 and Independent Living loadbanded courses

253 It is recognised that large numbers of learners are enrolled on adult basic education programmes of 450 glh or more. In order to prevent a significant loss of units for learners on these programmes following the changes to the loadbands in 2000-01,

- learners enrolled on loadbanded programmes of 450 glh or more in programme area 10 (that is, adult basic education) and/or independent living, will attract a minimum of 84 rather than 72 bopus per year
- for learners on mixed mode programmes, that is, where programme area 10 and/or independent living courses are supplemented by other courses, the minimum of 84 units may be claimed provided at least 225 annual glh are in programme area 10 and/or independent living.
- programmes of between 450 and 659 annual glh which fall into the categories above, will attract 84 bopus per year.

<sup>8</sup> Please refer to the definition of a course in the glossary



- programmes of 660 annual glh and above will attract units as shown in annex A.

### **Additionality**

254 Where an institution wishes to claim units for an additional course it should do so only where the glh are additional to those spent on the main course without any reduction in the glh for the main course. For example, an institution may not claim funding units for an induction programme which has been separately accredited, as the basic on-programme units for the main course already contain an element for induction. Learning taking place in the workplace must be clearly separate from normal working time.

255 Where an institution enters into any type of partnership arrangement with another organisation or an employer to deliver education and training, it must be able to demonstrate that this is over and above the education and training which has previously been provided. Council funding should not displace other sources of funding, including that provided by another statutory organisation. It is not expected that Council funding will be claimed for courses, or other learning activities which have existed previously and where there is no demonstrable added value from public funding.

256 Where an institution changes particular partnership arrangements with the same partner, then a value-for-money study should be undertaken to ensure that the changed arrangements do not result in additional cost to the public purse unless commensurate added value can be demonstrated. Arrangements to secure value for money should be considered by an institution's auditors when planning their work.

### ***Audit evidence – on-programme units***

257 The audit evidence which an institution should retain in support of a claim for on-programme units shall be:

- evidence that the learner for whom the units are being claimed was undertaking the planned learning programme in the tri-annual period in question
- where relevant, robust evidence of the process leading to the accreditation of prior experience and learning, for example, a log of learner contact and activity.

### **Partially-funded learners including ESF**

258 Institutions should note that the arrangements for funding ESF learners will change in 2002-03.

For 2001-02, institutions may claim units for partially funded learners in proportion to the implied rate of Council funding for them.

For example:

<i>Type of learner</i>	<i>Proportion of Council funding</i>
ESF	0.55

259 To calculate the number of units to be claimed for an ESF learner, institutions should multiply the total units available for the programme in question by the appropriate proportion listed above. For example, where an ESF learner achieves a programme for which the available units are 100, the institution may claim  $0.55 \times 100 = 55$  units.

260 Where an institution receives ESF grant support at a rate other than 45%, the proportion at which institutions may claim units from the Council will be one minus the grant rate expressed as a decimal. For example, if the ESF grant rate is 65%, the Council funded rate will equal  $1 - 0.65 = 35\%$ .

261 No funding units under the terms of this document may be claimed for learners who are considered to be fully funded from other sources. This includes cases where a learner is partly supported by ESF funding and partly by funding being provided under, for example, the Learning and Skills Council's Operations Guide.

## **Calculation of Units: Specific Types of Programme**

### **National vocational qualifications**

262 A list of national vocational qualifications (NVQs) which are currently individually listed will be updated in summer 2001 following review. All other NVQs will remain in the loadbands. The framework of NVQ delivery methods for listed NVQs is set out in table 4 (p.40). Table 4 also sets out the components for which glh may be counted for a learner's learning programme and the number of basic on programme units for each method of delivery. Funding values are reduced by one-third for employer dedicated provision as explained in paragraphs 301–304.

## Listed national vocational qualifications

263 In selecting the value of units to be claimed for an individually listed NVQ, institutions should consider the following matters:

- which of the three components are delivered by the institution
  - the number of glh
  - the length of time over which the programme is delivered
  - any overlap in content with any other NVQ or other qualification which is part of the learner's programme of study
  - for work-based training, institutions must be able to demonstrate the delivery of actual glh as distinct from work-related supervision
  - for franchised provision, the institution must be able to demonstrate effective control as to satisfy the control criteria set out in FEFC Circular 96/06, *Franchising*
  - institutions are expected to provide NVQs according to their current pattern. If an institution is introducing an NVQ for the first time, to establish the appropriate value for their client group, it should seek the advice of the awarding body and/or other institutions with experience of offering the qualification
    - 84 basic on-programme units or equivalent should only be claimed where a learner is following a full-time qualification which is delivered in 450 or more glh at a rate of at least 150 glh per tri-annual period.
- where support and assessment are provided by an institution, for example to employees, the provision will be eligible for funding if a significant level of support is provided for the programme as a whole together with assessment. Assessment alone is ineligible for Council funding
  - Council funding should not be claimed for learners on NVQ programmes who are not registered with an awarding body
  - institutions should note that where NVQ 'D' units 32 to 36 are claimed as separate qualifications as part of a learning programme designed to train an individual as an assessor or verifier, the learner should have an expert knowledge of his or her subject area before commencing the 'D' units. For example, combining 'D' units with diving qualifications below instructor level would be considered a device to inappropriately attract Council-funds.

265 Where programmes are extended by adding AVCE/GNVQ/NVQ units, different values of units are available for the additional item. The values of units for extending programmes are as follows:

<i>Additional qualification units</i>	<i>Additional on-programme extension units</i>
GNVQ and NVQ extension units	3.8

## All national vocational qualifications

264 The following notes apply to all listed and loadbanded NVQs:

- where a learner is in full-time employment a maximum of 30.2 basic on-programme units may be claimed
- learners are expected to undertake only one full-time NVQ programme in a 12-month period except in exceptional circumstances
- where a learning programme consists of two or more NVQs in the same subject area, institutions

266 Where additional GNVQ or NVQ units are added to a programme of at least 16 basic on-programme units per period (48 basic on-programme units a year), a maximum of 3 individual units may be claimed in any one year. If an institution wishes to offer more than 3 additional units, all the additional units should be loadbanded.

**Table 4. Framework of NVQ delivery methods**

<i>Delivery by</i>	<i>Solely institution</i>		<i>Institution and employer jointly</i>		<i>Institution and employer jointly</i>	
<i>Location</i>	<i>Entirely at institution</i>		<i>Mainly at workplace (partly at institution)</i>		<i>Entirely at workplace</i>	
<i>Component</i>	<i>Provider</i>	<i>glh</i>	<i>Provider</i>	<i>glh</i>	<i>Provider</i>	<i>glh</i>
Skills-training (on the job)	Institution	✓	Employer	✗	Employer	✗
Underpinning knowledge and understanding (off the job)	Institution	✓	Institution (at workplace or institution)	✓	Employer	✗
Support and assessment	Institution	✓	Institution	✓	Institution	✓
Basic on-programme units	84.0		30.2		18.4	

### GCE A/AS levels

267 Different rates of units are available for the GCE A level and AS level, depending on the mode of study, for example, whether the programme is delivered part-time and in the evenings only. With the exception of general studies, A levels studied during the day generate 48 basic on-programme units; those studied in the evening generate 24 basic on-programme units. AS levels studied during the day generate 24 basic on-programme units; those studied in the evening generate 12 basic on-programme units. Where an AS level is extended to a full A level, then 24 further basic on-programme units are available for an A level studied during the day; 12 basic on-programme units for the A level studied in the evening.

268 Institutions should note that the value of units for GCE A level general studies is 24 basic on-programme units for the whole qualification (12 units for the AS level general studies); and 24 units for the A level when delivered part-time and evening only (12 units for the AS level). Data for this programme according to the different modes of attendance support this level of funding.

### GCSE (short-course) qualifications

269 These qualifications were introduced from September 1996. They are intended to take half the time allotted to a conventional GCSE programme.

GCSE (short-course) qualifications are therefore individually listed at half the funding value of a conventional GCSE programme.

### Resits – all qualifications

270 Many learners' learning programmes are designed to enable them to resit GCE A and AS levels, GCSEs or other assessments. Such resits may be taken at the November session, that is, a few months after the learner's first attempt at the assessment, or at the next summer session, or after a longer period of time.

271 Where learners fail to achieve their certification and stay on in the same institution to resit the assessment, the institution may claim the on-programme units available for resits. The advice and guidance provided for such learners should examine whether taking a resit is the most appropriate choice for that individual.

272 Where a learner achieves the certification aim and stays on to resit the assessment in order to improve the level of the achievement, the institution may not claim any achievement units above those earned when the learner first achieved the certification. Where a learner fails to achieve certification in the expected time span and stays on for additional time to complete, this is not considered to be a resit.

273 For courses for which an institution claims resit units or where a learner needs to resit part of a course assessment, the institution should claim the units applicable to the appropriate loadband.

### Assessment exemptions

274 An institution may not claim any on-programme units for any part of a programme from which a learner is exempted by virtue of certification previously achieved before embarking on the programme in question. For example, where a certification is considered to provide the underpinning knowledge which can contribute to the achievement of an NVQ.

### Access to higher education

275 Access to higher education courses which are followed for at least 150 glh per tri-annual period for 450glh or more have been listed at 84 basic on-programme units. All other approved access to higher education courses remains in the loadbands.

### Key skills

276 Funding is available for learners over 19 and those aged 16 and over on part-time programmes, including the QCA key skills qualification. These are loadbanded. The cost weighting factors for the individual units that are separately listed correspond to those for other courses in the same programme areas. Adult learners are not, however, entitled to receive extra units for the tutorial and enrichment package.

277 For 16 to 18 year-old full-time learners there is no cost weighting factor applied to the QCA key skills qualification, or any equivalent qualifications provided within the 48 funding units for their entitlement package.

### Distance learning other than Ufi

278 In the *Tariff Guidance 1999-2000*, the FEFC distinguished distance from open learning and introduced an interim tariff, published in *Technical Discussion Document 22*, for distance learning. Institutions have had some difficulty in dealing with courses which are primarily distance learning but which include some open learning or traditional delivery. The Council has clarified the guidance on these types of provision in paragraph 190 in part B, and in paragraph 280. Please note that all courses delivered by distance learning, other than Ufi courses, are returned to the loadbands.

279 The Council has recognised that the normal tariff requires adjustment where guided learning hours are delivered entirely by distance learning as this is likely to require one-to-one delivery. Consequently a multiplication factor to be applied to distance guided learning hours (dglh)<sup>9</sup> has been introduced which may be claimed as set out in the following paragraphs. This factor should not be applied to hours delivered to groups of students (glh),<sup>10</sup> for example by video-conferencing to a number of centres simultaneously. In addition, all courses delivered by distance learning, other than Ufi courses, are returned to the loadbands.

- hours delivered wholly by distance learning, known as distance guided learning hours, are multiplied by a factor of 14 to reflect the on-to-one delivery mode required. The resulting figure is known as enhanced guided learning hours (eglh)
- for programmes wholly delivered by distance learning, the eglh determine the units to be claimed by use of the loadband table in annex A
- where programmes involve a mixture of glh and dglh, the conventional glh (that is, those which are delivered to a group of students as outlined in paragraph 186 of part B ) and the eglh should be calculated
- where the conventional delivery makes up at least half the programme, that is, glh is greater than or equal to eglh, the programme should be funded through the normal tariff and the dglh will be funded as glh
- where eglh is greater than glh the programme is termed a mixed mode programme and the programme is funded in the loadband identified by taking the sum of glh plus eglh

<sup>9</sup> See *paragraph 184* in part B for a definition of dglh

<sup>10</sup> See *paragraph 186* in part B for a full definition of glh in the context of a distance learning course

- for example:  
 conventional hours = 15  
 distance learning  
 hours = 3 hours  
 30 minutes = 210 minutes  
 enhanced glh =  
 14 x 210 minutes = 2940 minutes  
 or 49 hours  
 49 hours is greater than 15 hours so the  
 programme is a mixed mode programme  
 Total glh = 15 + 49 = 64 hours, therefore  
 the programme is funded in 60–89 glh  
 loadband giving 9.4 bopus
- as outlined in paragraph 112 the  
 minimum enhanced glh for distance  
 learning programmes is 6 eglh giving a  
 minimum fundable distance glh of 360  
 divided by 14 or 25 minutes. The  
 maximum eglh that may be claimed is  
 196 eglh
- the value of on programme units claimed  
 for distance learning courses should not  
 be more than would be generated by the  
 same course if it had been delivered by  
 traditional means.

### Mixed mode delivery

280 The Council wishes institutions to develop opportunities for learners on distance learning courses to participate in group activities. Empirical evidence indicates that tutor and peer support are key factors in maximising retention and completion rates for distance learners and institutions are encouraged to bear this in mind when designing programmes. Programmes comprising a combination of distance learning (dglh) and conventional delivery (glh) are particularly encouraged and are referred to as mixed mode.

281 Mixed mode programmes where at least 50% of the total glh are delivered by distance learning are funded as distance learning courses, as set out in this section. Paragraph 279 gives details of distance glh, enhanced glh and how to calculate units.

282 A distance learning or mixed mode programme is expected to be a complete programme supported by individual initial assessment and guidance, by logs of learner activity, qualified tutor support, pastoral care and guidance.

### Open learning

283 For courses delivered by open learning, the tariff for the course will be either loadbanded or individually listed. The tariff for distance learning should not be used.

284 Institutions should be realistic in the length of time assigned to a particular course delivered by open learning. For a course which is normally delivered in 120 glh in a traditional setting, the institution should not seek to require learners to adopt an unreasonable attendance pattern which they are unlikely to achieve, and which does not necessarily meet their individual needs. For example, it may not be reasonable to require all learners to adopt the same attendance pattern and their pattern of attendance should reflect their needs and ability to attend.

285 The Council expects to monitor claims for units to identify institutions where poor achievement rates appear to be a feature and will seek further explanation including information about the pattern of attendance.

### University for Industry

286 The Council has worked closely with the Ufi to agree the value of Ufi learning packages to be made available to its 'learndirect' centres. All learndirect courses are listed with the exception of adult basic education programmes. The values of listed courses are based on the interim tariff for distance learning. Adult basic education programmes offered by Ufi learning centres are loadbanded but are considered unsuitable for distance learning delivery. The actual glh provided should be recorded in the ISR.

287 In order to inform further development of the tariff for Ufi, institutions are requested to enter the glh delivered to the learner in the ISR. Specific instructions on completion of ISR for these learners are published by the Council.

### Open College Network

288 Table 5 shows the credit achievement targets for the loadbands in use for 2001-02. These replace those shown in table 1 of the FEFC *Technical Discussion Document 23*.

**Table 5. OCN credit achievement target**

<i>Number of credits</i>	<i>Level</i>			
	<i>Entry</i>	<i>1</i>	<i>2</i>	<i>3</i>
Up to 29 glh	1	1	1	1
30 to 39 glh	1	1	1	1
40 to 49 glh	1	1	1	1
50 to 59 glh	1	1	1	2
60 to 89 glh	2	2	2	3
90 to 119 glh	3	3	4	4
120 to 149 glh	4	4	5	6
150 to 179 glh	5	5	6	7
180 to 209 glh	6	6	7	8
210 to 239 glh	7	7	8	10
240 to 269 glh	8	8	10	11
270 to 299 glh	9	9	11	13
300 to 329 glh	10	10	12	14
330 to 359 glh	11	11	13	15
360 to 389 glh	12	12	14	17
390 to 419 glh	13	13	16	18
420 to 449 glh	14	14	17	20
450 glh +	15	15	17	20

### Courses of 3 and 6 glh

289 The tariff for the short course arrangements is set out in annex A.

290 It is not expected that any learner would be enrolled on more than one 3 glh taster or diagnostic programme in each of the basic skills (that is, literacy, numeracy, and ESOL). A learner may follow courses of both 3 glh and 6 glh in basic skills provided that the institution can demonstrate that the two programmes have significantly different learning goals. For example, an institution might use a 3 glh programme as an extended period of diagnostic assessment for individuals with basic skills needs (up to a maximum of one such assessment for each of the basic skills, that is, literacy, numeracy and ESOL). After conducting the diagnostic assessment/s, a maximum of one 6 glh programme in each of these areas may then be used to provide an intensive programme of tuition (to improve particular aspects of literacy, numeracy

and/or English for speakers of other languages).

Such a combination of 3 glh and 6 glh courses for basic skills would be eligible for funding with the expectation that the learners would then progress on to a more substantial programme. In addition, a learner should not be enrolled on more than one 3 glh taster programme in Information and Communications Technology before moving onto a more substantial learning programme. It is expected that where a learner undertakes 3/6 glh courses as outlined above, this will be studied prior to progressing to a more substantial programme.

### Accreditation of prior experience and learning

291 This is a process where the learner is given exemption from particular elements of a programme because of prior knowledge and experience. For an individually listed course, the full value of on-programme units may be claimed when the programme is delivered wholly or partly by the

accreditation of prior experience and learning (APL) subject to a minimum threshold of 6 glh (9 for learners 16–18). For a course that is not individually listed, the value of units claimed for APL should be the value for the loadband into which the course falls. Provision in the workplace is not expected to exceed 329 glh a year. It would be unusual to gain full certification by APL and it is expected that some guided learning would be required. Where institutions are carrying out assessment of, for example, employees leading to the award of an NVQ after little or no guided learning input, this would not be eligible for funding.

### ***Audit evidence – accreditation of prior learning***

292 It is expected that this is a substantial process and that there should be robust evidence of the process leading to APL, including a record, or log, of individual learner activity.

### **Funding taper**

293 The Council funds programmes on the basis of costs incurred. When a learner's programme comprises many individual courses there is evidence that the guided learning hours delivered do not increase in proportion to the units available. The funding taper limits the number of units that can be claimed on such programmes

### **Learners and programmes affected by the taper**

294 The taper applies to:

- all funded learners, and
- all programmes except those where the LLSC has provided written authorisation to the institution that the taper should not apply. Examples of programmes where the LLSC would consider such authorisation include:

295

- Intensive programmes
  - Where a full-time programme is accelerated to enable learners to complete in less than a year the programme may cross only one or two tri-annual periods and the taper would unfairly limit funding
- Programmes with high guided learning hours

- Where programmes, often in practically based subjects geared to the needs of employers, provide high numbers of weekly guided learning hours and continue throughout the year.

296 Where institutions believe that they are delivering exempt programmes they should write to the Council before the programmes commence, giving details of the programme and why the institution believes the taper should not apply. Where the Council agrees with the institution view, written approval to make a manual adjustment to remove the effects of the taper will be issued.

### **Operation of taper**

297 The effects of the taper are calculated on bopus, that is, before any cost weighting factor is applied and before any discount for franchising or dedicated employer provision is applied. The 8 units per tri-annual period for 16 to 18 entitlement are not subject to the taper and for the purposes of calculating the effects of the taper should be removed from the calculation.

- learner programmes of up to and including 40 basic on programme units (bopus) per tri-annual period will not be tapered
- learner programmes of above 40 bopus per tri-annual period will be subject to a 50% discount rate for all bopus above 40
- the maximum number of bopus per tri-annual period that may be claimed, unless written authorisation as described above has been obtained, will be 44.

### **Tuition fees**

298 The tariff assumes approximately 25% of the notional full cost of a course should be met from fees. This was an extension of the assumptions pre-incorporation when the Council of Local Education Authorities (CLEA) recommended fee rates. In the case of dedicated employer-based provision the FEFC changed this assumption to 50% from 1998-99 onwards. Fee remission is extended to all 16-18 year-old learners for 2001-02, including those on part time courses, and continues to be available for adult learners who meet specified criteria.

299 At present, whilst institutions are free to set their own tuition fees for most types of provision, for employer-led provision, there is a recommended tuition fee rate. Since 1999-2000, the secretary of state has included a target for income from employers and included that sum in the baseline for allocations. The contribution was £35 million in 1999-2000, rising to £60 million in 2000-01 and 2001-02.

300 Institutions are recommended to charge a minimum 25% fee per employed learner and they are encouraged to set income targets to increase their income from employers. This was set out in FEFC publications *Council News* 53, Circular 99/09, *Franchising, Fees and Related Matters* and Circular 99/37, *Franchising and Fees*. The tuition fee rates for 2001-02 are calculated by multiplying the number of funding units which would have been available for remittance by the minimum ALF for institutions (£17.22). Some examples are shown in table 6.

**Table 6. Tuition fees**

<i>Basic on- Programme units</i>	<i>Fee remission units</i>	<i>Minimum tuition fee recommended</i>
10.0	4.0	£69
24.0	9.6	£165
58.9	23.5	£405
84.0	33.6	£579

### **Employer contribution to fees – dedicated provision**

301 The secretary of state has asked the Council to put in place arrangements for securing additional contributions from employers. There is a reduction by one-third of tariff units for dedicated provision for employers, which applies to eligible provision delivered either by an institution, an independent training institution or an employer, normally on an employer's premises where that provision is made for that employer's staff. The employer may be from the private, public or voluntary sector.

302 Institutions should note that where dedicated employer provision is delivered through franchise arrangements, funding will be discounted by one-third in accordance with the Council's decision on franchising and by a further third in line with the established position on the funding of dedicated

employer provision. Funding units associated with dedicated employer provision delivered through franchising should therefore be multiplied by a discounting factor of approximately 0.45 (that is, 0.67 multiplied by 0.67), other than where learners qualify for exemption by virtue of attracting a widening participation uplift. In this case, only the one-third discount (a single multiplier of 0.67) for dedicated employer provision would apply.

303 The reduction in the tariff does not apply in the following circumstances:

- for provision which is advertised as open to the general public and advertised and run in such circumstances that the public could reasonably be expected to attend
- for normal day-release provision or equivalent on institution premises
- where the programme includes staff of more than one employer being taught at the same time providing each employer has confirmed that members of the general public may attend
- for ABE or ESOL provision made in the workplace.

304 It is not envisaged that this will affect small employers as their staff more commonly attend provision open to the public. The Department of Trade and Industry define a small employer as having fewer than 50 employees and an annual turnover of less than £8 million.

### **Funding of franchised provision**

305 As stated in FEFC Circular 99/37, *Franchising and Fees*, the Council has confirmed that the funding associated with franchised provision should be multiplied by a discounting factor of 0.67, other than for provision:

- where the learner involved attracts a widening participation uplift or;
- which is community-based and normally within non-profit-making bodies.

### **Fee remission**

306 The Council's funding methodology makes the assumption that all learners, other than those aged 16–18<sup>11</sup>, are charged a tuition fee as a contribution

<sup>11</sup> Note that eligibility for fee remission is extended to all 16–18 year-old learners, that is, including part-time learners, for 2001-02



to the costs of their programme. The Council, however, is prepared to compensate institutions that remit 100% of the tuition fee for certain groups of people on low incomes. These are:

- unemployed people in receipt of Jobseekers' Allowance (JSA)
- those in receipt of a means-tested state benefit
- the unwaged dependants (as defined by the Benefits Agency) of those listed above
- those taking programmes where the primary learning goal is adult basic education or English for speakers of other languages
- asylum seekers in receipt of the equivalent of a means-tested benefit (assistance under the terms of the 1999 *Immigration and Asylum Act*), and their dependants
- certain learners participating in Council funded projects (only where identified in the project specification).

307 Where an institution remits 100% of the tuition fee for the categories of people listed in paragraph 306, it may claim tariff units to the values set out in annex A.

308 It is consistent with the principles underlying Curriculum 2000 that fee remission should be proportional to the size of the programme in the same way as other elements of funding. Accordingly, there is no cap on fee remission units for 2001-02.

309 The tuition fee remission units for individually listed courses are the values available for the whole programme to completion. Where an individually listed course is accelerated so that a higher number of on-programme units than normal can be claimed for each period, the same approach may be applied to tuition fee remission units.

310 Tuition fee remission units should be claimed by tri-annual period. A learner in receipt of an eligible benefit on enrolment must be deemed to be in receipt of that benefit during the tri-annual period for which the institution is claiming tuition fee remission units. For this purpose, the learner must be in receipt of an eligible benefit on the relevant census date or for the duration of their programme if it starts and finishes between two census dates.

311 The secretary of state requires that no tuition fees be charged to learners aged 16 to 18. Such

learners should be regarded, for funding purposes, as receiving 100% tuition fee remission and institutions should claim the appropriate value of additional units for them.

312 Where a learner aged 16 to 18 is following an eligible programme at an institution, it is not expected that the institution will charge that learner for any additional eligible study at the same institution. The learner's learning agreement should include all the courses connected with the learner's programme of study at the institution.

313 The Council's tuition fee remission policy and the secretary of state's requirement in respect of 16-18 year olds apply only to tuition fees. They do not apply to registration or examination fees and charges for materials, which are a matter for each institution and local education authority.

Institutions are advised to consider the reasonableness of such fees and charges which may prove a barrier to learner enrolment. The Council considers that it is essential that learners have access to clear and full information on the costs of courses before enrolment.

314 The Council has received advice from the DfEE that 'no fee should be charged to learners aged 16 to 18 for instrumental tuition which is part of the syllabus for a prescribed public examination', which includes music qualifications on the S96 list.

315 Where a learner's primary learning goal is an adult basic education (ABE) or ESOL qualification and the learner wishes to undertake an additional course which is not ABE or ESOL, tuition fee remission units may not be claimed for the additional course unless the learner is either in receipt of, or is an unwaged dependant, of someone who is in receipt of, a job-seekers' allowance (JSA) or a means-tested state benefit, recognised by the Council for funding purposes.

316 Where literacy or numeracy support is provided in addition to a main programme of study with a primary learning goal which is not a course or set of objectives for basic literacy in English, the basic principles of mathematics, or to improve the knowledge of English for those for whom English is not the language spoken at home, any tuition fee remission is determined by the main programme of study and the learner's benefit status as defined for funding purposes. In such cases, the learner would not qualify for tuition fee remission under the Council's ABE or ESOL category. This issue will be

reconsidered by the Council for the next academic year (2002-03).

### **Working Families' Tax Credit and Disabled Person's Tax Credit**

317 Working Families' Tax Credit (WFTC) was introduced from 3 April 2000. Disabled Person's Tax Credit (DPTC) follows the same guidance as WFTC. Learners claiming either WFTC or DPTC will be issued with an award notice. This notice will give the date the award started, the number of weeks it is for, how it is to be paid and the name of the recipient. The award notice will also state how much, if anything has been deducted from the maximum credit. If nothing, or less than £70 has been deducted, then the learner and their partner are entitled to full fee remission. Learners claiming full fee remission based on WFTC or DPTC should be asked to produce the award notice. If the award notice is lost, they should be advised to ask their tax credit office for a duplicate.

318 If learners require guidance on applying for tax credits, they may call the 'Better Deal' response line on 0800 597 5976. The central response line can also provide them with an application pack, if they are eligible. For information on specific WFTC or DPTC applications or awards, recipients should call the Helpline 0845 609 5000.

### **Audit evidence – fee remission**

319 Where an institution wishes to claim tuition fee remission units, it should include a statement in the learner's learning agreement that the learner falls within the Council's tuition fee remission policy and that the institution has agreed to remit 100% of its tuition fee normally chargeable to the learner. A copy of the evidence which shows that the learner falls within the terms of the Council's tuition fee remission policy, or the signature of a member of the institution's staff indicating the nature of the documentary evidence seen, should be retained with the learning agreement. If institutions do not require learners to produce termly evidence of continued eligibility for tuition fee remission, the Council expects institutions:

- to require learners, in their learning agreement, to inform the institution of any change of circumstance affecting eligibility for tuition fee remission
- to undertake a sample survey of learners to confirm their continued eligibility. The

size of the sample should be agreed with their external auditors.

### **Additional support**

320 The FEFC commissioned an evaluation of the additional support mechanism which was completed during 1999. The changes recommended from that review are reflected in the following paragraphs.

### **Definition of additional support**

321 Additional funding units may be claimed where an institution provides additional support to a learner and the extra costs of doing so are above a threshold level. Additional support is defined as: *any activity that provides direct support for learning to individual learners, over and above that which is normally provided in a standard learning programme which leads to their primary learning goal. The additional support is required to help learners gain access to, progress towards and successfully achieve their learning goals. The need for additional support may arise from a learning difficulty or disability, or from literacy, numeracy or language support requirements.*

322 The activities for which additional support units may be claimed are intended to be additional activities which provide direct learning support to learners. They are not intended to include activities that would more usually be classified as learner maintenance. Consequently, the definition of additional support, for funding purposes, does not include childcare or transport to the institution, although it could include transport within the institution.

323 Where the majority of learners in a group appear to require additional help to succeed on their learning programme, this should be addressed within the design and delivery of the main learning programme or by reconsidering the choice of programme for these learners, rather than by applying the additional support mechanism. This would not apply to discrete groups of learners with learning difficulties and/or disabilities. Additional support should not be used to lengthen artificially the working week or working year for learners where the institution has reduced the hours for the standard learning programme.

324 It is not intended that additional support should be used to deal with the everyday difficulties experienced by learners on their programmes, for example, a GCE A level mathematics learner

experiencing difficulty with calculus or for such activities as preparing for university entrance.

325 Each institution should determine which elements of support in the institution are additional to those already offered in a learner's learning programme and could therefore be costed to substantiate the institution's application for additional support units. Where a learning programme is designed as discrete provision for learners with learning difficulties and/or disabilities, there must be clear evidence of the provision of additional support before a claim for additional support units can be considered.

326 The phrase 'standard learning programme' is meant to refer to the actual learning programme which the learner is following alongside his or her peers. This may include elements of support delivered as part of the curriculum.

327 In many cases, a learner requiring additional support will have had a statement of educational need when a school pupil. Institutions are reminded that, in designing a learning programme, they should have regard to a learner's statement that may contain useful information.

328 The types of additional support provided for learners may include:

- additional teaching – either to reduce class sizes or to provide in or out of class support
- other specialist staffing – for example: personal care assistant; mobility assistant; reader; note-taker; amanuensis; in-class support assistant; dedicated technician (for supply, maintenance and training in the use of equipment for learners with disabilities or learning difficulties); specialist tutors, for example, teachers of the deaf, teachers of learners with dyslexia; communication support worker, for example, for deaf learners, brailist; additional tutor support for counselling and guidance for individual learners that relates to his or her disability; material adaptation worker; educational psychologist
- funding for a speech therapist and a physiotherapist – where such support is identified in a learning agreement as necessary to enable a learner to achieve his or her primary learning goal, and

meets the definition of additional support, such support should be funded by the institution and is eligible for additional support units. Normally, the provision of such support should follow an assessment by an appropriately qualified person.

Where speech therapy or physiotherapy is not identified in a learning agreement as necessary to enable a learner to achieve his or her primary learning goal and does not meet the definition of additional support, funding should be sought from the relevant health authority

- assessment and review pre-entry and on entry, on-programme and on exit where this involves specialist inputs or a higher level of input than that provided on the learner's learning programme
- personal counselling where such support is necessary to enable a learner to achieve his/her primary learning goal
- transport between sites and to other off-site activities, but not home-to-institution transport
- administration in excess of usual requirements, for example, time spent negotiating or delivering special examination facilities.

329 Whilst the actual equipment costs cannot be included as additional support, a depreciation charge for the equipment may be included. It should be calculated by dividing the actual cost of the equipment by the estimated number of years of its useful life. Only the appropriate element of depreciation for equipment used by the learner for the time it was used may be claimed. If the lease costs are a revenue charge, for example an operating lease, the institution may claim the proportionate cost of the lease charge. Where a finance lease is used the depreciation charge is calculated with reference to the capitalised value divided by the term of lease or useful economic life. This should be calculated by a institution's finance department as it must be shown in a institution's accounts.

330 Institutions may claim units for providing programmes in numeracy, literacy and English for speakers of other languages in one of three ways:

- as a main programme for which the only primary learning goal is a course or a set

of objectives for basic literacy in English, to teach the basic principles of mathematics, or to improve the knowledge of English for those for whom English is not the language spoken at home

- the addition of an individually listed numeracy/literacy/language course to a learner's main primary learning goal
- as additional support where the programme has a primary learning goal which is not literacy, numeracy or English for speakers of other languages, but where additional help in any of these areas is provided to the learner.

331 The second option listed in paragraph 330, that is, the addition of an individually listed numeracy/literacy/language course to a learner's primary learning goal, should be adopted only where it is in the learner's best interests and would have a positive effect on the learner's ability to achieve their main learning outcome.

### **Assessment of additional support**

332 Where the institution wishes to claim additional support units, it should complete the standard additional support costs form. The form should be signed by a member of the institution's staff and the learner or his or her parent or advocate. In reviewing the additional support mechanism, it was found that this requirement for the learner's signature created practical difficulties. A working group has therefore been established to consider the alternatives in such a way as to enable learners to participate in the assessment of their own support whilst at the same time reducing the administrative problems which have been encountered in practice.

333 There are guidance notes on how to complete the form and on the costing of additional support activities with the sample form provided at annex B to this document. The form is intended to provide a standard framework against which institutions may assess the extra needs of learners with learning difficulties and/or disabilities and the costs of assessing these needs. The costs should:

- be calculated net of any specific income received from other sources
- exclude the costs of staff training
- exclude support costs associated with learners enrolled at school and following link programmes in an institution.

### **Value of additional support units**

334 The values of additional support units that may be claimed in 2001-02 are set out in annex A.

In August 2000, the number of additional support bands was increased. The threshold remains the same but subsequent bands were divided. The opportunity for institutions to request support beyond £19,000 for a learner in a year is retained.

335 To identify the value of units that may be claimed, the institution should calculate, using the standard additional support costs form, the extra costs incurred in the teaching year August 2001 to July 2002 to meet the extra needs of the particular learner and thereby identify the appropriate additional support band.

336 The values of units listed in appendix 2 to annex B relate to the cost of the additional support provided for one year, including programmes completed in less than one year. Where a programme is completed in one period, all of the additional support units can be claimed for that period. If the programme is completed in two periods, half the additional support units may be claimed for each period.

337 The threshold for learners not on full-time full-year programmes is minimum band 0. Bands above band 0 apply to all other learners, band 0 does not apply to full-time, full-year programmes. Full-time full-year means a programme of 48 basic on-programme units or more in a teaching year.

338 Institutions may apply to their LLSC for specific additional financial support for learners whose additional support costs exceed £19,000. In such cases, it will be necessary to demonstrate the need for such additional funds.

339 The Council is prepared to make further additional support funds available to enable institutions to maintain learner numbers (FTEs) but still accept learners requiring additional support.

### **Audit evidence – additional support**

340 Where the institution wishes to claim additional support units, the learner's learning agreement should give a summary of the additional support to be provided to the learner and a copy of the additional support costs form should be retained with the learning agreement. It is intended that the form be retained by the institution as auditable evidence in support of a claim for additional support units. Care should be taken to ensure that planned

expenditure does not make disproportionate use of public funds.

341 The institution should also be able to make available to its auditors sufficient evidence to show that the additional support for which additional support units are claimed was made available to the learner.

### Childcare funds

342 Childcare and the associated funding will be distributed through a consolidated learner support fund.

### Widening participation

343 An institution may claim widening participation funding where a learner lives in a ward which is relatively deprived. Institutions indicate in the learner data set of the ISR the widening participation uplift factor which it is eligible to claim. The funding program will generate additional funding units for that learner related to the uplift factor for the ward that includes this postcode.

344 For 2001-02, a widening participation uplift of 12% may be claimed for the homeless and those living in hostels and residential centres, irrespective of their postcode. The other categories of learner listed in paragraph 94 will receive a widening participation uplift of 10%. As stated in FEFC Circular 99/42, *Extension of the Widening Participation Factor for 1999/2000*, institutions will be able to claim a higher rate of widening participation funding, up to a maximum of a 25% uplift, in order to generate the necessary level of matched funding for ESF.

345 The sum of entry, on programme and achievement units is multiplied by the uplift factor for the individual learner to generate the units claimed.

346 Changes to postcodes should not affect this relationship or alter the number of additional funding units that an institution may claim. However, if a postcode is created after the Council issues a file of postcodes with widening participation factors, then the new postcode will not appear in the Council file.

347 During the year an institution will be in the best position to identify whether new postcodes have appeared in areas it normally recruits from. For most institutions, it is unlikely that they will be

significantly affected. If an institution does find a significant number of learners quoting new postcodes, then as an interim measure the institution is advised to compare the uplift factors, if any, of adjoining postcodes, and take the predominant one. The annual updating of postcode information should then remove the need for this temporary estimation before the final claim is made.

### Achievement

348 Achievement units may be claimed for successful certificated completion of:

- qualifications
- other externally certificated provision including prescribed and non-prescribed courses of higher education as defined in the *Education (Prescribed Courses of Higher Education) (Wales) (Amendment) Regulations 1998*
- other provision in the following circumstances:
  - accreditation certifying the eligibility of a learner to progress to a qualification.
  - the Council has agreed that it may provide an incentive for adults to participate in basic skills provision if achievement units for non-externally accredited programmes could be recognised. Where ABE and ESOL programmes do not lead to an externally accredited qualification, institutions may claim achievement units in 2001–02 where the programme enables learners to meet their primary learning goals set within the new standards for basic skills produced by the QCA.
  - for learners with learning difficulties, institution accreditation certifying the eligibility of the learner to progress to a programme preparing him or her for external qualifications, or evidence that the learner has progressed to such a programme, such as a profile for recording and assessing achievement.
  - for other provision leading to the award of a institution certificate of achievement.

### Value of achievement units

349 The number of units that may be claimed for Council funded qualifications is set out in annex A. Institutions should claim achievement units for each

course that the learner studies at the completion of that course. The value of achievement units available for a course is directly related to the total of bopus in the course:

- courses contributing to the national targets for education and training – the achievement units are 12% of the bopus
- all other courses – the achievement units are 9.5% of the bopus. Any values calculated in this way should be rounded to the nearest single decimal place.

### **National learning targets for England for 2002**

350 The revised national learning targets are as follows:

#### ***Targets for 16 year olds***

- 50% of 16 year olds getting five higher grade GCSEs (that is, GCSEs at grades A\* to C or the equivalent)
- 95% getting at least one GCSE at grade A\* to C

#### ***Targets for young people***

- 85% of 19 year olds with a level 2 qualification (that is, five GCSEs at grades A\* to C, an NVQ level 2 or a GNVQ intermediate or equivalent)
- 60% of 21 year olds with a level 3 qualification (that is, two A levels, an NVQ level 3, a vocational A level or the equivalent)

#### ***Targets for adults***

- 50% of adults with a level 3 qualification
- 28% with a level 4 qualification (that is, an NVQ level 4 or equivalent)
- a 7% reduction in non-learners (the 'learning participation target').

351 The DfEE has provided guidance that the learning participation target covers everyone aged between 16 and 69, regardless of economic status, except those in full-time continuous education. The target covers all types of taught, classroom-based activity and self-study. Vocational and non-vocational learning are included, regardless of whether they lead to qualifications.

352 Where a learner achieves a greater number of

relevant qualifications than are necessary to meet one of the national targets, the institution may nonetheless claim the higher rate of achievement units for all of the constituent qualifications achieved.

353 The national targets are age-related. The Council wishes, however, to encourage relevant achievements by learners of all ages and consequently, will make available the higher level of achievement units for such qualifications irrespective of the age of the learner achieving them.

354 Where a learner's programme constitutes a number of qualifications, institutions may claim achievement units for each qualification achieved.

### **Partial achievements**

355 For external qualifications and other certificated provision described as eligible for achievement units above that are not fully achieved, half of the achievement units listed in the tariff can be claimed where a learner has achieved at least half of the credits or modules towards the final qualification. Achievement units should be claimed at the end of each qualification. This includes the units available where a learner partially achieves the qualification.

### ***Audit evidence – achievement units***

356 Where achievement funding is to be claimed, institutions should retain learning outcomes records with the associated initial assessment records, showing that the learner has met the agreed learning objectives and achieved the appropriate outcome.

357 For basic skills learners institutions should record achievement on a 'record of progress'. Institutions are reminded that achievement units may not be claimed where there is no corresponding claim for on-programme units.

358 The audit evidence for achievements shall be:

- listings from the awarding bodies of successful candidates
- evidence of entry to a relevant programme
- for institution-accredited programmes, a record of achievement, institution certification and/or progress reports indicating achievement of the learners' learning programme.

# Entry Units and On-programme Units for Individually Listed and Loadbanded Courses

<i>Basic on-programme units (bopu) for learning programme</i>	<i>Entry units for learning programme not in adult basic education</i>	<i>Entry units for adult basic education learning programme (including ESOL)</i>
Less than 2 bopu	0.5	0.5
bopu greater than, or equal to 2, but less than 3.8	2	4
bopu greater than, or equal to 3.8, but less than, or equal to, 10	4	8
More than 10 bopu	8	8

# Individually Listed Qualifications

Course aim	Basic on-programme units (bopu)	On-programme						Achievement	Other
		CWF A 1.0	CWF B 1.2	CWF C 1.5	CWF D 2.0	CWF E 2.2	+	Contributing	
							for 100% fee remission	towards national learning targets	
Individually listed qualifications (units/learner/course)									
EDEXCEL National Diploma	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
EDEXCEL National Certificate	65.5	65.5	78.6	98.3	131.0	144.1	26.2	7.9	6.2
EDEXCEL First Diploma	72.0	72.0	86.4	108.0	144.0	158.4	28.8	8.6	6.8
EDEXCEL First Certificate	35.3	35.3	42.4	53.0	70.6	77.7	14.1	4.2	3.4
EDEXCEL Professional Development courses (for each unit)	10.0	10.0	12.0	15.0	20.0	22.0	4.0	1.2	1.0
GNVQ Part One: Foundation or Intermediate	36.0	36.0	43.2	54.0	72.0	79.2	14.4	4.3	3.4
GNVQ Part Two: Foundation or Intermediate	72.0	72.0	86.4	108.0	144.0	158.4	28.8	8.6	6.8
AVCE Double award (12 unit) – (previously full award GNVQ)	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
AVCE (6 unit) – (previously single award GNVQ)	72.0	72.0	86.4	108.0	144.0	158.4	28.8	8.6	6.8
ASVCE (3 unit) – (previously part award GNVQ)	36.0	36.0	43.2	54.0	72.0	79.2	14.4	4.3	3.4
GNVQ: for each additional NVQ or GNVQ unit	3.8	3.8	4.6	5.7	7.6	8.4	1.5	0.5	0.4
GCE A level studied during the day (except General Studies)	48.0	48.0	57.6	N/A	N/A	N/A	19.2	5.8	4.6
GCE A level in General Studies studied during the day	24.0	24.0	28.8	N/A	N/A	N/A	9.6	2.9	2.3
GCE A level studied during the evening (including General Studies)	24.0	24.0	28.8	N/A	N/A	N/A	9.6	2.9	2.3
GCE AS level or A2 studied during the day (except General Studies)	24.0	24.0	28.8	N/A	N/A	N/A	9.6	2.9	2.3
GCE AS level or A2 in General Studies during the day	12.0	12.0	14.4	N/A	N/A	N/A	4.8	1.4	1.1
GCE AS level or A2 studied in the evening (including General Studies)	12.0	12.0	14.4	N/A	N/A	N/A	4.8	1.4	1.1
GCSE studied during the day	16.8	16.8	20.2	N/A	N/A	N/A	6.7	2.0	1.6
GCSE double award studied during the day	33.6	33.6	40.3	N/A	N/A	N/A	13.4	4.0	3.2
GCSE double award studied in the evening	20.0	20.0	24.0	N/A	N/A	N/A	8.0	2.4	1.9
GCSE studied in the evening	10.0	10.0	12.0	N/A	N/A	N/A	4.0	1.2	1.0
Short-course GCSE studied during the day	8.4	8.4	10.1	N/A	N/A	N/A	3.4	1.0	1.8
Short-course GCSE studied in the evening	5.0	5.0	6.0	N/A	N/A	N/A	2.0	0.6	0.5



Course aim	Basic on-programme units (bopu)	On-programme						+ for 100% fee remission	Achievement	Other
		CWF A 1.0	CWF B 1.2	CWF C 1.5	CWF D 2.0	CWF E 2.2	Contributing towards national learning targets			
Individually listed qualifications (units/learner/course)										
Access to Higher Education (course studied at a rate of 150 glh or more per tri-annual period for total of 450 or more glh)	84.0	84.0	100.8	126.0	168.0	184.0	33.6		10.1	8.0
Specific 3 glh courses in Basic Skills or ICT	1.0	1.0	1.2	1.5	2.0	2.2	0.4		N/A	N/A
Other individually listed qualifications (including NVQs)										
– with 1.5 bopus	1.5	1.5	1.8	2.3	3.0	3.3	0.6		0.18	0.14
– with 2 bopus	2.0	2.0	2.4	3.0	4.0	4.4	0.8		0.24	0.19
– with 3.8 bopus	3.8	3.8	4.6	5.7	7.6	8.4	1.5		0.5	0.4
– with 7.6 bopus	7.6	7.6	9.1	11.4	15.2	16.7	3.0		0.9	0.7
– with 10 bopus	10.0	10.0	12.0	15.0	20.0	22.0	4.0		1.2	1.0
– with 18.4 bopus	18.4	18.4	22.1	27.6	36.8	40.5	7.4		2.2	1.7
– with 20 bopus	20.0	20.0	24.0	30.0	40.0	44.0	8.0		2.4	1.9
– with 30.2 bopus	30.2	30.2	36.2	45.3	60.4	66.4	12.1		3.6	2.9
– with 36.8 bopus	36.8	36.8	44.2	55.2	73.6	81.0	14.7		4.4	3.5
– with 43.6 bopus	43.6	43.6	52.3	65.4	87.2	95.9	17.4		5.2	4.1
– with 60.4 bopus	60.4	60.4	72.5	90.6	120.8	132.9	24.2		7.2	5.7
– with 84 bopus	84.0	84.0	100.8	126.0	168.0	184.8	33.6		10.1	8.0
– with 90.6 bopus	90.6	90.6	108.7	135.9	181.2	199.3	36.2		10.9	8.6
– with 168 bopus	168.0	168.0	201.6	252.0	336.0	369.6	67.2		20.2	16.0
– with 252 bopus	252.0	252.0	302.4	378.0	504.0	554.4	100.8		30.2	23.9

*Note: Learning programmes generating more than 40 basic on-programme units per period will be subject to the effects of the taper, as described in paragraph 293, which can lead to fewer units being generated than the values shown here.*

*The figures shown are rounded to 1 decimal place. The actual units calculated by Learner Information Suite use the unrounded numbers and may vary slightly from those shown.*

# Loadbanded Courses

Course aim	Basic on-programme units (bopu)	On-programme						Achievement	
		CWF A 1.0	CWF B 1.2	CWF C 1.5	CWF D 2.0	CWF E 2.2	+	Contributing	Other
							for 100% fee remission	towards national learning targets	
Loadbanded qualifications/courses (units/learner/course)									
Courses of 3 to 5 glh	1	N/A	1.2	1.5	N/A	N/A	0.4	0	0
Courses of 6 to 8 glh	1.5	1.5	1.8	2.3	3.0	3.3	0.6	0.18	0.14
Courses of 9 to 19 glh	2.0	2.0	2.4	3.0	4.0	4.4	0.8	0.24	0.19
Courses of 20 to 29 glh	3.1	3.1	3.7	4.7	6.2	6.8	1.2	0.4	0.3
Courses of 30 to 39 glh	4.4	4.4	5.2	6.6	8.7	9.6	1.7	0.5	0.4
Courses of 40 to 49 glh	5.6	5.6	6.8	8.5	11.3	12.4	2.3	0.7	0.5
Courses of 50 to 59 glh	6.9	6.9	8.3	10.4	13.8	15.2	2.8	0.8	0.7
Courses of 60 to 89 glh	9.4	9.4	11.3	14.2	18.9	20.8	3.8	1.1	0.9
Courses of 90 to 119 glh	13.2	13.2	15.9	19.9	26.5	29.1	5.3	1.6	1.3
Courses of 120 to 149 glh	17.0	17.0	20.4	25.6	34.1	37.5	6.8	2.0	1.6
Courses of 150 to 179 glh	20.8	20.8	25.0	31.3	41.7	45.9	8.3	2.5	2.0
Courses of 180 to 209 glh	24.6	24.6	29.6	37.0	49.3	54.2	9.9	3.0	2.3
Courses of 210 to 239 glh	28.4	28.4	34.1	42.7	56.9	62.6	11.4	3.4	2.7
Courses of 240 to 269 glh	32.2	32.2	38.7	48.4	64.5	70.9	12.9	3.9	3.1
Courses of 270 to 299 glh	36.0	36.0	43.3	54.1	72.1	79.3	14.4	4.3	3.4
Courses of 300 to 329 glh	39.8	39.8	47.8	59.8	79.7	87.7	15.9	4.8	3.8
Courses of 330 to 359 glh	43.6	43.6	52.4	65.5	87.3	96.0	17.5	5.2	4.1
Courses of 360 to 389 glh	47.4	47.4	56.9	71.2	94.9	104.4	19.0	5.7	4.5
Courses of 390 to 419 glh	51.2	51.2	61.5	76.9	102.5	112.7	20.5	6.1	4.9
Courses of 420 to 449 glh	55.0	55.0	66.1	82.6	110.1	121.1	22.0	6.6	5.2
Courses of 450 to 479 glh	72.0	72.0	86.4	108.0	144.0	158.4	28.8	8.6	6.8
Courses of 480 to 509 glh	72.0	72.0	86.4	108.0	144.0	158.4	28.8	8.6	6.8
Courses of 510 to 539 glh	72.0	72.0	86.4	108.0	144.0	158.4	28.8	8.6	6.8
Courses of 540 to 569 glh	72.0	72.0	86.4	108.0	144.0	158.4	28.8	8.6	6.8
Courses of 570 to 599 glh	74.1	74.1	88.9	111.1	148.1	162.9	29.6	8.9	7.0
Courses of 600 to 629 glh	77.9	77.9	93.4	116.8	155.7	171.3	31.1	9.3	7.4
Courses of 630 to 659 glh	81.7	81.7	98.0	122.5	163.3	179.6	32.7	9.8	7.8
Courses of 660 to 689 glh	85.5	85.5	102.5	128.2	170.9	188.0	34.2	10.3	8.1
Courses of 690 to 719 glh	89.3	89.3	107.1	133.9	178.5	196.4	35.7	10.7	8.5
Courses of 720 to 749 glh	93.1	93.1	111.7	139.6	186.1	204.7	37.2	11.2	8.8
Courses of 750 to 779 glh	96.9	96.9	116.2	145.3	193.7	213.1	38.7	11.6	9.2
Courses of 780 to 809 glh	100.7	100.7	120.8	151.0	201.3	221.5	40.3	12.1	9.6
Courses of 810 to 839 glh	104.5	104.5	125.4	156.7	208.9	229.8	41.8	12.5	9.9
Courses of 840 to 869 glh	108.3	108.3	129.9	162.4	216.5	238.2	43.3	13.0	10.3
Courses of 870 to 899 glh	112.1	112.1	134.5	168.1	224.1	246.5	44.8	13.4	10.6
Courses of 900 to 929 glh	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
Courses of 930 to 959 glh	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
Courses of 960 to 989 glh	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
Courses of 990 to 1019 glh	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
Courses of 1020 to 1049 glh	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
Courses of 1050 to 1079 glh	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
Courses of 1080 to 1109 glh	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
Courses of 1110 to 1139 glh	144.0	144.0	172.8	216.0	288.0	316.8	57.6	17.3	13.7
Courses of 1140 to 1169 glh	146.3	146.3	175.5	219.4	292.5	321.8	58.5	17.6	13.9
Courses of 1170 to 1199 glh	150.1	150.1	180.1	225.1	300.1	330.2	60.0	18.0	14.3

**Notes on loadbanded courses table**

- a. *From 2000-01, loadbands have been calculated based on the total glh for each separate qualification, rather than the previous system which used the glh per year for the group of all loadbanded qualifications in the student's learning programme.*
- b. *Learning programmes generating more than 40 basic on-programme units per period will be subject to the effects of the taper, as described in paragraph 293, which can lead to fewer units being generated than the values shown here.*
- c. *The loadbands are determined from the total glh over the length of the qualification, and therefore it is possible to have a higher loadband than shown in this table, especially for qualifications lasting a number of years.*
- d. *The calculation of the loadband for qualifications of over 1199 glh is described below:*
  - *determine the total glh for the qualification*
  - *determine which band the glh for the qualification falls into. Each band covers 30 glh, following on from the bands in this table*
  - *determine the mid-point of the band. For example the mid-point of the band 1620–1649 is 1634.5 glh*
  - *calculate the basic on-programme units from the mid-point glh, using a ratio of 84 basic on-programme units divided by 663 glh*
  - *the resultant basic on-programme units are for the whole qualification*
  - *resultant values of funded units such as on-programme units and fee remission units are calculated from basic on-programme units in the same way as for other qualifications, after the effects of tapering and other scaling factors have been taken into account.*

*For example a qualification of 1630 glh falls into the band 1620–1649 glh. The mid-point of the band is 1634.5 glh. The total basic on-programme units for the qualification are  $1634.5 \times 84 \div 663 = 207.1$  basic on-programme units.*

*The figures shown are rounded to one decimal place. The actual units calculated by Learner Information Suite use the unrounded numbers and may vary slightly from those shown.*

# Additional Support Costs Form

Reference Guidance on FE Funding Eligibility and Rates 2001-02

## THE FURTHER EDUCATION FUNDING COUNCIL

Institution name (*please print*)

Institution address

Name of student

Learning programme

Start date of programme \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Cheylesmore House  
Quinton Road  
Coventry CV1 2WT

Telephone 024 7686 3000  
Fax 024 7686 3100

Length of programme (*please tick appropriate box*):

☐

at least 48 bopus per year

☐

fewer than 48 bopus per year

Name of college staff undertaking assessment

Anticipated duration of support

Evidence/assessment used to identify additional support needs

*Additional support needs identified*

*Please specify the nature of the support under each heading*

*Cost/  
hour*

*Hours/  
week*

*Weeks/  
year*

*Cost/  
year*

1 Pre-entry

- home/school/college visits

2 At-entry

- initial assessment – general
- initial assessment – subject specific

3 On-programme support

- additional teaching
- depreciation charge for capital equipment
- other support
- reviews
- progression planning/activities

4 Assessment of achievement

- exam costs

5 Other

Total additional support costs

£

Specific income received from sources other than the Council (*please specify*)

£

Net additional support costs

£

Additional support tariff band

I certify that the information provided on this form is accurate

Signature

Name (*please print*)

Position

Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Signature of student

Name (*please print*)

Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_

# Guidance on Completing the Additional Support Costs Form

## Introduction

1 This guidance is based on the advice of a subgroup of the learning difficulties and/or disabilities committee chaired by Professor Tomlinson.

2 The Council recognises that some students will need additional support in order to reach their primary learning goal. The need for additional support may arise as a result of one or more of the following:

- the student has a learning difficulty and/or disability which has implications for their learning
- the student needs help with literacy or numeracy
- English is not the language spoken at home and the student requires language support.

Institutions can claim additional support units if the costs of the additional support provided fall into one of the additional support cost bands included in the

tariff. Institutions which are planning to increase significantly the number of students requiring additional support are asked to contact their LLSC.

## Initial assessment of learning support needs

3 The evidence for claiming additional support units, that is, the completed form, is the outcome of the process of initial assessment for learning support. This initial assessment process generally occurs at the pre-entry and entry stages of the learning programme and may be considered to have three main elements:

- initial identification of the students who will need learning support
- detailed assessment of their learning support needs
- development of a plan to provide additional support.

Institutions will use a range of assessment instruments and strategies throughout the learning programme to identify students' additional learning support needs. The assessments carried out should be relevant and identify an individual's need within the context of the curriculum they will be following. There is no standard assessment method which all institutions should use, and institutions will make their own judgements as to the most relevant assessment methods and materials to use for particular students.

**Table 1. Stages in the process of identifying and providing additional support**

<i>Timing</i>	<i>Process</i>	<i>LSC requirements</i>
Previous institution year	Strategic planning including activities such as schools liaison, multi-agency planning	Strategic plan which includes a needs analysis of students with learning difficulties and/or disabilities
February of previous year	Estimate of numbers of students requiring learning support and the level of their needs	Provision of supporting information to FEFC including an estimate of the number of additional support units required
Pre-entry/entry	Initial identification of needs, that is, the admissions and induction processes	Evidence for claiming entry units
	Detailed assessment of each individual's learning support needs	Back-up evidence for the additional support costs form
Entry/induction	Development of a plan to support learning and costing the additional support to be provided	Completion of the additional support costs form
On-programme	Regular review of learning support needs	Revision of the additional support costs form as required
Achievement	Identifying support requirements for end-of-programme review, assessment, accreditation	Estimate of costs to be included in additional support costings

4 Once the provision required to meet an individual's support needs has been identified, it can be costed and the additional support costs form completed. This stage of the process will typically take place during the induction phase of the learning programme.

5 There are some learners who will have needs which are not identified during the pre-entry and entry stages. It is important that as soon as these needs are identified an assessment is carried out, and the additional support costs form completed. An individual's learning support needs may change during the programme and, if a review of their needs leads to a significant change in the provision being offered to them, the form should be revised. This is particularly important where the change in provision may lead to a change in the additional support cost band into which the support costs fall.

6 Possible stages in the process of identifying and providing additional support are set out in table 1.

### **Providing audit evidence of additional support**

7 In planning its provision for 2001-02, an institution will have prepared an estimate of the number of units required for additional support for the year in question. The estimate of additional units will draw on information derived from strategic planning activities, including multi-agency collaboration, school links, careers information and other activities.

8 Once the students are engaged on their learning programmes, the institution is required to provide evidence of the additional support being provided in order to account for the additional support units claimed in its application.

9 The additional support costs form provides information on the costs of providing additional support. It will form part of the audit evidence to be retained by the institution in support of its claim for additional support units. In addition, institutions should have available evidence of the assessments which were carried out as part of the process of identifying the support required by the individual.

10 The process of initial assessment for learning support should be integrated into the other processes carried out during the entry phase of the learning programme. Institutions should consider how the various documents and auditable evidence required for the entry element are co-ordinated.

### **Costing additional support**

11 The outcome of the initial assessment is an additional support plan which details the provision a learner will need to achieve his or her primary learning goal. This provision should be costed as part of the process of completing the additional support costs form. The costings used in completing the additional support costs form should reflect the actual costs borne by the institution. Institutions should adopt costing formulas which reflect the variations in their provision.

12 The following points may be helpful when costing the provision:

- institutions should not include overhead costs such as central services, premises costs in the calculation of additional costs, as these are already met from the base unit of resource
- additional teaching costs should be based on staff salaries plus on-costs and contracted hours. It may be appropriate to base the costings on the average costs of all the staff involved in providing additional learning support
- costs for support staff could be calculated in the same way as additional teaching costs
- the costings should relate to direct learning support for individual students. The costs of a learning support co-ordinator may be included where the member of staff concerned is providing direct support to an individual student
- where students are on a discrete programme, the additional costs of teaching smaller groups of students can be included in the form. Institutions should calculate the additional costs by subtracting the average teaching cost for each student on a standard programme from the teaching cost for each student as a discrete course. The costs of any other additional support provided within a discrete programme should also be included in the costing
- institutions may include a depreciation charge for capital equipment on the form. This should be calculated by dividing the cost of specialist equipment by the estimated number of years of its useful life

- costs of any assessments required to identify equipment needs can be included in the costing of initial assessment
- maintenance of the equipment and training for the student in the use of the equipment can also be included
- where a student needs to have his or her learning materials adapted, the cost of preparation can be included in the form. This may involve tutor, administrator or support staff costs
- the cost of providing additional support during assessment of achievement should be included. This might include for example, extra examination invigilator time, note-takers, an amanuensis
- the cost of transport can be included within the form where the student is being transported between institution sites or where transport to a particular place is an integral part of meeting the student's learning support needs, for example, as part of travel-training
- administrative costs in excess of the usual requirements for an individual can be included in the costings, for example, this could include liaison time with other agencies and time spent negotiating special exam facilities.

# Additional Support Bands

<i>Band</i>	<i>Additional support costs per student per year (£)</i>	<i>Units per student per year</i>
0	170–500 (for part-time students)	19
1	501–1,000	44
2	1,001–1,500	73
3	1,501–2,000	102
4	2,001–2,500	131
5	2,501–3,000	160
6	3,001–3,500	189
7	3,501–4,000	218
8	4,001–4,500	247
9	4,501–5,000	276
10	5,001–5,500	305
11	5,501–6,000	334
12	6,001–6,500	363
13	6,501–7,000	392
14	7,001–7,500	421
15	7,501–8,000	450
16	8,001–8,500	479
17	8,501–9,000	508
18	9,001–9,500	537
19	9,501–10,000	566
20	10,001–10,500	595
21	10,501–11,000	624
22	11,001–11,500	653
23	11,501–12,000	682
24	12,001–12,500	711
25	12,501–13,000	740
26	13,001–13,500	769
27	13,501–14,000	798
28	14,001–14,500	827
29	14,501–15,000	856
30	15,001–15,500	885
31	15,501–16,000	914
32	16,001–16,500	943
33	16,501–17,000	972
34	17,001–17,500	1,001
35	17,501–18,000	1,030
36	18,001–18,500	1,059
37	18,501–19,000	1,088



# Cost Weighting Factors by Superclass II Subject Codes

Different qualifications in some subcategories currently attract different cost weighting factors. This annex shows the most likely cost weighting factors.

Individual qualifications should be checked with the latest version of the qualifications database. Institutions which discover anomalies in the qualifications database are asked to notify the funding and statistics support desk by fax on 024 7686 3249.

<i>Code</i>	<i>Title</i>	<i>Most likely cost weighting factor</i>
<b>A</b>	<b>Business/management/office studies</b>	
AA	business/finance (general)	A
AB	management (general)	A
AC	public administration	A
AD	international business studies/briefings	A
AE	enterprises	A
AF	management skills	A
AG	management planning & control systems	A
AJ	human resources management	A
AK	financial management/accounting	A
AL	financial services	A
AY	office skills	A
AZ	typing/shorthand/secretarial skills	A
<b>B</b>	<b>Sales marketing &amp; distribution</b>	
BA	marketing/public relations	A
BB	export/import/European sales	A
BC	retailing/wholesaling/distributive trades	A
BD	retailing/distribution: specific types	A
BE	sales work	A
BF	physical distribution	A
<b>C</b>	<b>Information technology &amp; information</b>	
CA	computer technology	B
CB	IT: computer science/programming/systems	B
CC	IT: computer use	B
CD	using software & operating systems	B
CE	text/graphics/multimedia presentation software	B
CH	software for specific applications/industries	B
CX	information work/information use	A
CY	information systems/management	B
CZ	libraries/librarianship	A

<i>Code</i>	<i>Title</i>	<i>Most likely cost weighting factor</i>
<b>D</b>	<b>Humanities (history/archaeology/religious studies/philosophy)</b>	
DA	humanities/general studies/combined studies	A
DB	history	A
DC	archaeology	B
DD	religious studies	A
DE	philosophy	A
<b>E</b>	<b>Politics/economics/law/social sciences</b>	
EA	government/politics	A
EB	economics	A
EC	law	A
ED	social sciences general/combined	A
EE	social studies	A
<b>F</b>	<b>Area studies/cultural studies/languages/literature</b>	
FB	culture/gender/folklore	A
FC	literature	A
FJ	linguistic studies	A
FK	languages	A
FL	cultural/area/social/diaspora studies	A
	all English for speakers of other languages (ESOL)	C
<b>G</b>	<b>Education/training/teaching</b>	
GA	education theory/learning issues	B
GB	teaching/training	B
GC	teaching/training: specific subjects	B
GD	education/school organisation	B
GE	training/vocational qualifications	B
GF	careers/education guidance work	B
<b>H</b>	<b>Family care/personal development/personal care &amp; appearance</b>	
HB	self-development	A
HC	career change/access	A
HD	continuing education (basic skills)	C A
HE	personal finance/consumerism/rights	A
HF	parenting/carers	A
HG	disabled people: skills/facilities	B
HJ	personal health/fitness/appearance	A
HK	therapeutic personal care	C
HL	hair/personal care services	C

<i>Code</i>	<i>Title</i>	<i>Most likely cost weighting factor</i>
<b>J</b>	<b>Arts &amp; crafts</b>	
JA	art studies/fine arts	C
JB	art techniques/practice	C
JC	design (non-industrial)	C
JD	museum/gallery/conservation skills	B
JE	collecting/antiques	B
JF	crafts: leisure/general	B
JG	decorative leisure crafts	B
JH	decorative metal crafts/jewellery	C
JK	fashion/textiles/clothing (craft)	C
JL	fabric crafts/soft furnishings	C
JP	wood cane & furniture crafts	D
JR	glass/ceramics/stone crafts	C
<b>K</b>	<b>Authorship/photography/publishing media</b>	
KA	communication/media (general)	A
KB	communication skills	A
KC	writing (authorship)	A
KD	journalism	A
KE	photography	C
KF	film/video production	C
KG	audio & visual media	C
KH	print & publishing	D
<b>L</b>	<b>Performing arts</b>	
LA	performing arts (general)	B
LB	dance	B
LC	theatre & dramatic arts	B
LD	variety circus & modelling	B
LE	theatre production	C
LF	music history/theory	C
LG	music of specific kinds/cultures	B
LH	music performance	C
LJ	musical instrument technology	D

<i>Code</i>	<i>Title</i>	<i>Most likely cost weighting factor</i>
<b>M</b>	<b>Sports games &amp; recreation</b>	
MA	sports studies/combined sports	B
MC	watersports	B
MD	athletics gymnastics & combat sports	A
MG	ball & related games	A
MH	country/animal sports	E
MJ	indoor games	B
<b>N</b>	<b>Catering/food/leisure services/tourism</b>	
NA	hotel/catering (general)	C
NB	food/drink services	C
NC	catering services	C
ND	hospitality services	C
NE	baking/dairy/food & drink processing	C
NF	cookery	C
NG	home economics	C
NH	food science/technology	B
NK	tourism/travel	A
NL	leisure/sports facilities work	A
NM	country leisure facilities work	E
NN	arts/culture/heritage administration	A
	all NVQs in baking and food preparation	D
<b>P</b>	<b>Health care/medicine/health &amp; safety</b>	
PA	healthcare management/health studies	B
PB	medical sciences	B
PC	complementary medicine	B
PD	paramedical services/supplementary medicine	A
PE	medical technology/pharmacology	B
PF	dental services	B
PG	ophthalmic services	B
PH	nursing	B
PJ	semi-medical/physical/psycho/therapies	B
PK	psychology	A
PL	occupational health & safety	B
PM	social care/social work skills	B
PN	family/community work	B
PP	crisis support/counselling	B
PQ	childcare services	B

<i>Code</i>	<i>Title</i>	<i>Most likely cost weighting factor</i>
<b>Q</b>	<b>Environment protection/energy/cleansing/security</b>	
QA	environmental protection/conservation	B
QB	energy economics/management/conservation	B
QC	pollution/pollution control	B
QD	environmental health/safety	B
QE	cleansing	B
QG	funerary services	A
QH	security	A
QJ	fire prevention/fire-fighting	B
<b>R</b>	<b>Science &amp; mathematics</b>	
RA	science & technology (general)	B
RB	mathematics	A
RC	physics	B
RD	chemistry	B
RE	astronomy	B
RF	earth sciences	B
RG	land & sea surveying/cartography	C
RH	life sciences	B
<b>S</b>	<b>Agriculture/horticulture/animal care</b>	
SA	agriculture/horticulture (general)	E
SB	agricultural sciences	B
SC	crop protection/fertilisers/by-products	E
SD	crop production	E
SE	gardening/floristry/plant sales	E
SF	amenity horticulture/sports grounds	E
SG	forestry/timber production	E
SH	animal husbandry	E
SJ	fish production/fisheries	E
SK	agricultural engineering/farm machinery	C
SL	agricultural/horticultural maintenance	E
SM	rural/agricultural business organisation	B
SN	veterinary services	C
SP	pets/domestic animal care	D

<i>Code</i>	<i>Title</i>	<i>Most likely cost weighting factor</i>
<b>T</b>	<b>Construction &amp; property (built environment)</b>	
TA	built environment (general)	C
TC	property: surveying/planning/development	A
TD	building design/architecture	B
TE	construction (general)	C
TF	construction management	C
TG	building/construction operations	C
TH	building services	C
TJ	interior design/fitting/decoration	C
TK	construction site work	C
TL	civil engineering	C
TM	structural engineering	C
all NVQs in construction		D
<b>V</b>	<b>Services to industry</b>	
VB	production/operations management	A
VC	purchasing/procurement & sourcing	A
VD	quality & reliability management	A
VE	industrial control/monitoring	C
VF	industrial design/research & development	C
VG	engineering services	C
all NVQs in engineering services		D
<b>W</b>	<b>Manufacturing/production work</b>	
WA	manufacturing (general)	C
WB	manufacturing/assembly	C
WC	instrument making/repair	C
WD	testing measurement & inspection	C
WE	chemical products	B
WF	glass/ceramics/concrete manufacture	C
WG	polymer processing	C
WH	textiles/fabrics (industrial)	D
WJ	leather footwear & fur	D
WK	woodworking/furniture manufacture	C
WL	paper manufacture	C
WM	food/drink/tobacco (industrial)	C
all manufacturing NVQs (WA and WB)		D

<b>Code</b>	<b>Title</b>	<b>Most likely cost weighting factor</b>
<b>X</b>	<b>Engineering</b>	
XA	engineering/technology (general)	C
XD	metals working/finishing	C
XE	welding/joining	D
XF	tools/machining	C
XH	mechanical engineering	C
XJ	electrical engineering	C
XK	power/energy engineering	C
XL	electronic engineering	C
XM	telecommunications	C
XN	electrical/electronic servicing	C
XP	aerospace/defence engineering	C
XQ	ship & boat building/marine/offshore engineering	C
XR	road vehicle engineering	C
XS	vehicle maintenance/repair	C
XT	rail vehicle engineering	C
	all NVQs in engineering	D
<b>Y</b>	<b>Oil/mining/plastics/chemicals</b>	
YA	mining/quarrying/extraction	C
YB	oil & gas operations	C
YC	chemicals/materials engineering	B
YD	metallurgy/metals production	C
YE	polymer science/technology	C
<b>Z</b>	<b>Transport services</b>	
ZA	transport (general)	A
ZD	freight handling	A
ZE	aviation	A
ZF	marine transport	A
ZG	rail transport	A
ZH	driving/road safety	A
ZJ	road transport operation	A
ZL	motor trade operations	A

*Most likely cost weighting factor*

**GCE A levels, GCE AS levels, GCSEs and short-course GCSEs with the exception of those listed below**

**A****Exceptions:**

agricultural science	B
applied physics	B
archaeology	B
art & design	B
astronomy	B
biology	B
botany	B
building studies	B
catering	B
chemistry	B
communications studies	B
computer science	B
craft & design	B
dance	B
design & technology	B
drama	B
earth science	B
electronics	B
engineering	B
engineering & technology	B
environmental science	B
fashion & textiles	B
film studies	B
geography	B
geology	B
graphical communication	B
home economics	B
human biology	B
information studies	B
information technology	B
land surveying	B
marine navigation	B
media studies	B
meteorology	B
motor vehicle	B
music	B
performing arts	B
photography	B
physics	B
psychology	B
science	B
social biology	B
textiles	B
theatre studies	B
zoology	B



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The print run for this document was 3,050 copies.

Please quote the reference number below when ordering.

Reference MISC/1210/01

Issue date March 2001