

**TRAINING  
FOR SUCCESS**



***TRAINING FOR SUCCESS 2008***

**OPERATIONAL GUIDELINES**

**Version 4  
September 2009**

# **TRAINING FOR SUCCESS**

## **OPERATIONAL GUIDELINES**

The *Training for Success* Operational Guidelines have been prepared for Suppliers who have been contracted by the Department for Employment and Learning (DEL) to provide training under the former JobReady strand of *Training for Success*.

Following consultation with a variety of stakeholders, it has been agreed that the former JobReady strand will henceforth be known only as *Training for Success*, and will refer to training provision for participants who have not yet found full-time employment.

*Training for Success* no longer includes Apprenticeship training, which will be separately branded and known as *ApprenticeshipsNI*.

*Training for Success* is designed to enable participants to progress to higher level training, further education, or employment by providing training to address personal and social development needs, develop occupational skills and employability skills and, where necessary, Essential Skills training.

It will be delivered through three components:

(1) **Skills for Your Life (formerly Personal Development)**

To address the personal and development needs of young people who have disengaged from learning and/or have significant obstacles. From September 2009, this component will be called *Skills for Your Life*. The Department does not wish to change the name formally until then, as we wish to give Suppliers sufficient time to address any related promotional and marketing issues.

(2) **Skills for Work**

To help young people gain skills and a Vocationally Related Qualification at Level 1 to be able to gain employment, to progress to Pre-Apprenticeship or Apprenticeship provision, or to further education.

(3) **Pre-Apprenticeship**

To ensure that those who have been assessed as being capable of achieving a Vocationally Related Qualification at Level 2, but who have not yet secured employment, are prepared for future progression to employment as an Apprentice.

These Operational Guidelines are intended to be a comprehensive guide to *Training for Success* and to provide information on a broad range of topics. However, Suppliers are advised that staff in DEL's Training Programmes Branch are available to provide guidance and assistance on any aspect of the provision, and to clarify any of the rules which apply.

Further amendments to these Guidelines may be issued in order to keep the information up to date, although the Department will try to keep any such amendments, and their frequency, to a minimum. Suppliers are included on an e-mailing list which is used to distribute

information on new developments. To ensure that this list remains accurate, any changes in address or contact name should be notified to:

**Department for Employment and Learning  
Training Programmes Branch  
3rd Floor  
Lesley Buildings  
61 Fountain Street  
BELFAST  
BT1 5EX**

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# ***SECTION***

# **1**

## **SUPPLIERS - RESPONSIBILITIES**

## **1.0 SUPPLIERS - RESPONSIBILITIES**

### **1.1 CONTRACTS**

The Department of Finance and Personnel's Central Procurement Directorate, on behalf of the Department for Employment and Learning (DEL), has already issued contractual documentation relating to *Training for Success* provision for the period 3<sup>rd</sup> September 2007 until 31<sup>st</sup> March 2010. However, with the written agreement of both parties, this may be extended for two further periods of one year each, unless otherwise terminated in accordance with the provisions of these contract conditions.

### **1.2 TERMINATION OF CONTRACTS**

Suppliers, in providing training under the terms of the agreement, do not act as legal agents for the Department.

When a Supplier decides to terminate the contract with the Department, or vice-versa, the Department has the right to satisfy itself that all aspects of the training are as they should be, and up-to-date as at the point of closure. This not only relates to the associated administrative systems as determined by Financial Audit and Support Team (FAST) but also to the progress, or otherwise, of each participant during their respective training periods, up to the point of transfer to another Supplier.

The Department will take whatever steps are considered appropriate to obtain all the necessary assurances including the involvement of External Verification. In the absence of such assurances, the Department will make appropriate recoveries of funding applicable to the situation, including the costs of External Verification. Each situation will be dealt with on a case-by-case basis. The closing Supplier must ensure that all the relevant documentation is made available to the new Supplier, so that each participant's record is complete.

### **1.3 GEOGRAPHICAL AREAS**

Suppliers must not actively promote their services in contract management areas in which they do not hold a contract. Provided training is available, a young person is expected to take up training within the contract management area in which they live. However, if training is available locally, but the young person chooses a preferred Supplier in another area, then travel expenses will not be paid.

### **1.4 TRAINING DELIVERY**

#### **1.4.1 Induction**

At the beginning of the provision, and at key transitional stages within it, participants will require information about the content of their training. A formal induction period must take place, to brief participants about important aspects of the training they will undertake and the working environment they will be in. Understanding about safe working practices is particularly important.

As part of this formal induction period, participants must be made fully aware of their terms and conditions and receive a copy of the *Participant's Handbook*. Any Induction Period must, as a minimum, include the list of actions that are included in the Induction Checklist contained within the model Personal Training Plan ([Annex 1](#)), and copies of the signed Induction Checklist must be retained for Departmental inspection.

#### **1.4.2 Assessment**

The purpose of Assessment is to identify the participant's strengths and weaknesses in relation to personal development, training and Essential Skills needs, as well as assessing which component of the provision is most appropriate for each individual. The assessment must also examine the participant's motivation, to ensure that they have chosen the appropriate occupational area (where this is the case). A comprehensive assessment will incorporate a range of assessment methods including:

- observation whilst undertaking particular tasks;
- questioning;
- diagnostic testing;
- self-assessment;
- initial assessment baseline tool;

- previous attainments;
- reports from others (including Progress File); and
- other means as appropriate.

The assessment of participants may be in conjunction with the Careers Adviser, parents, schools, social services, and other agencies as appropriate. It must involve drawing up a Personal Training Plan (PTP) that is tailored to meet the personal and training development objectives identified for the individual participant, including any Essential Skills requirements.

The Department has asked LSDA (NI) to carry out a number of quality improvement training sessions on PTPs in advance of the roll-out of the new provision. The Department considers attendance at these training sessions to be mandatory for all Suppliers.

Monitoring and reviewing progress against the PTP and where necessary, revising the PTP, must be carried out in conjunction with the participant. When the participant requires further careers guidance, a referral must be made to the Careers Service.

The product of assessment, therefore, will be a comprehensive picture of an individual's strengths and weaknesses which will identify the personal development needs. This information will assist in the production of a suitable PTP (the template for which is attached at [Annex 1](#)) and must be maintained by Suppliers for inspection by the Education and Training Inspectorate (ETI). It is anticipated that ETI inspections of a sample of PTPs from each Supplier will take place as soon as possible after the initial 12 week assessment period, and will be carried out in line with the DEL Quality Improvement Strategy. If a quality improvement need is identified, then the Department will arrange, through LSDA (NI), for additional support to be provided to Suppliers in order to help improve the quality of PTPs. This support will be provided on the following basis:

|                         |                                |
|-------------------------|--------------------------------|
| High Risk Suppliers -   | within 2 weeks of ETI's report |
| Medium Risk Suppliers - | within 4 weeks of ETI's report |
| Low Risk Suppliers -    | within 6 weeks of ETI's report |

Progress and improvement against the initial ETI report will then be followed up during ETI district inspections.

The Department has decided, because of the need for continuity during this important initial phase of the provision, that participants **must** remain with the one Supplier until a PTP has been agreed.

Participants who leave without notice before the completion of their PTP, and subsequently seek re-entry to the provision, will in most instances return to the original Supplier. During the period of initial assessment and induction, the Supplier will:

- organise a participant review involving the Careers Adviser, parent(s), schools, and other agencies in order to discuss and agree the needs of the participant;
- identify specific learning disabilities;
- explore with the participant the opportunities available;
- refer the participant to specialist advice or counselling where necessary;
- prepare an agreed PTP based on the participant's assessed capabilities; and
- determine the particular support needs of the participant.

### **1.4.3 Personal Training Plans (PTPs)**

Planning to meet individual needs enables trainers and participants to agree both short-term and long-term milestones and to identify the specific means by which those milestones can be achieved. It provides a means by which all those involved in the training provision (participants, employers, and Suppliers) can contribute to the achievement of the participant's occupational aim and their personal and social development needs.

The result of this process will be the drawing up a PTP that is tailored to meet personal and social development needs and, where necessary, include Essential Skills training. A PTP will be designed to help motivate, develop, and prepare the participant for progression to higher level training, further education and/or employment. A Supplier checklist for the completion of PTPs is provided at [Annex 2](#). If a participant transfers from one Supplier to another approved Supplier, the participant's PTP and progress achieved against it **must** be made available to the new Supplier.

The PTP must contain/record *inter alia*:

- Qualifications & Achievements
- Previous Work Experience/Employment
- Career/Employment Objectives
- Results of Initial and Diagnostic Assessments
- Essential Skills Needs (if required)
- Training Arrangements
- Details of Work Experience/Placements
- Training Objectives
- Review and Monitoring Arrangements

#### **(i) General Information**

The PTP must clearly identify the participant and include his/her name, client reference number, date of birth, gender, National Insurance Number (if available), contact details, start date, expected end date on programme, name of the component to be followed under *Training for Success*, the duration of the component, and hours of attendance.

Under *Training for Success*, the PTP provides a facility to record details regarding the Title and Reference Number from the NDAQ database, of any accredited qualification being undertaken by the participant. These must be entered under the Unit Title, Unit Reference Number, and Target Date sections. As soon as the qualification in question has been achieved, the Achieved Date must also be completed.

#### **(ii) Results of Initial and Diagnostic Assessments**

The PTP must identify the results of the initial and diagnostic assessments, both in terms of Essential Skills, as well as the level of relevant occupational skills. Furthermore, the document should state any learning needs or barriers to employment that have been identified through the baseline interview. Relevant examples might include, amongst others, interpersonal skills, team-working, and time management.

#### **(iii) Objectives**

##### **(a) Career/Employment Objectives**

- The objectives entered must contain a brief statement about the participant's career/employment objectives.

(b) Training Objectives

- The objectives entered must contain a brief statement about the participant's training, and state what PTP targets and outcomes are to be carried out under *Training for Success* arrangements;
- Training Objectives should identify and record opportunities to gain in-house awards where they will have a motivating effect, along with any pre-vocational and life skills awards which recognise the participant's achievements and stimulate motivation.

**(iv) Training Arrangements**

(a) Milestone Targets

The PTP must contain details of the agreed Milestones to be achieved and should identify clear targets that will form the basis of the continuing review of the participant's training and social development progress.

(b) Essential Skills - Assessed Level or Exemption

This field must contain details of any Essential Skills targets set arising from the initial Essential Skills assessment, or whether an exemption applies (evidence of exemption must be available for inspection).

(c) Other Enhancements/Qualifications/Courses

This section must contain details of any accredited qualifications or enhancements that have been deemed relevant/required, following the initial assessment.

**(v) Specialist Support Arrangements/Additional Help**

This must include details of any identified need for Specialist Support arrangements, or an indication that none are applicable. Details regarding any other additional help to be provided should also be entered here. It should be noted that whilst the need must be identified within the PTP, the costs associated with Specialist Support are claimable as an allowable expense item via TMS.

PTPs will be automatically approved on TMS, provided that the following data fields have been correctly completed:

- relevant *Training for Success* Component (Personal Development/Skills for Your Life, Skills for Work, Pre-Apprenticeship);

- confirmation that a full PTP template ([Annex 1](#)) has been separately completed and is available for examination;
- Essential Skills Assessment (or exemption)
- Specialist Support.

The full PTP must **not** be completed on TMS. Only those data fields set out above should be completed on TMS. The full PTP must be completed separately (not on TMS) and held for quality assurance purposes. A start payment will only be made on approval of the PTP details as submitted on TMS.

Suppliers must ensure that full PTPs are made available to ETI in the format set out at [Annex 1](#). Whilst ETI will not be performing an approval role in respect of PTPs, they will be examining PTPs and providing Suppliers with recommendations as to how the quality and content of PTPs may be improved. Implementation of these recommendations will then be followed up during ETI district inspections.

PTPs submitted to TMS outside the 12 week deadline will not be approved for payment. These will be 'validated' (i.e. counted for statistical purposes only and not payment).

## **1.5 PROGRAMME CONTENT**

### **Personal Development/Skills for Your Life**

Any training should be implemented with particular regard for pastoral care, support, encouragement and concern for the holistic welfare and development of the participant. A general framework for this provision must include the following, matched to the individual needs of the participant:

- Essential Skills (Literacy, Numeracy and ICT)
- Personal and Social Development (including homelessness, independent living, healthy lifestyle, coping with authority);
- Preparation for Working Life;
- Mentoring and good Pastoral Care;
- Social and Cultural Awareness; and
- Recreation and Creativity.

In planning an individual programme, the Supplier must:

- take account of the current level of attainment of each young person;



- use appropriate means of initial assessment, both for Essential Skills as well as holistic assessment;
- take account of the participant's Essential Skills needs;
- provide opportunities for the application of learning in meaningful everyday and occupational contexts;
- take account of the needs and learning styles of individuals;
- maximise opportunities in other areas of training to help the young person's skills in developing Essential Skills;
- provide opportunities for formal accreditation;
- ensure participants learn with a sense of enjoyment; and
- where possible, incorporate the use of ICT.

In planning provision for personal and social development, Suppliers must:

- seek to promote the young person's self-worth, self-confidence, and sense of responsibility;
- promote health-related topics such as sex education, basic first aid, and awareness of alcohol, solvent and drug abuse;
- promote positive values and attitudes in relation to self and others;
- develop the young person's skills in decision making, problem solving, and inter-personal relationships;
- provide opportunities for the young person to reflect on their own life experiences, decisions, attitudes, values and behaviour;
- create a caring and supportive ethos; and
- consult and collaborate with external support agencies, where appropriate/necessary.

In planning provision for preparation for working life, Suppliers must:

- take account of the experiences and attitudes of a young person who comes from a situation where there is no culture of work;
- ensure that the young person has access to relevant careers information, guidance and counselling, which provides for a basis of choice;
- enable the young person to participate in work sampling, work experience placements and other workplace visits to help them identify opportunities for potential professional and technical training and employment;
- provide opportunities for the participant to undertake professional and technical training consistent with their interests and abilities;

- ensure that the young person is well prepared prior to their work placements, particularly with regard to relevant health and safety; and
- ensure the participant is monitored regularly during their time in the workplace. This should include a monitoring and review tool for the employer to provide an early indication of any drop/change in attendance/behaviour, so that a remedial intervention can be facilitated as early as possible.

As a result of participation in Personal Development/Skills for Your Life, it is expected that outcomes will include participants being able to:

- achieve a relevant accredited qualification;
- achieve an Essential Skills qualification, where an Essential Skills need has been identified;
- act independently or as part of a team;
- understand the personal and social issues which affect them;
- communicate information, ideas, and opinions clearly and in a style and format appropriate to the purpose and audience;
- listen and respond appropriately and to engage in discussion;
- acquire self-confidence through interaction and communication;
- develop creative, information-handling and problem-solving skills;
- identify possible opportunities for training and employment;
- apply for jobs and prepare for interviews;
- identify possible progression routes for training and employment; and
- participate with increasing confidence and understanding in a range of cultural and recreational, individual and team activities.

### **Skills for Work**

In planning an individual programme under Skills for Work, Suppliers must:

- take account of the current level of attainment of each participant;
- use appropriate means of initial assessment;
- take account of the participant's Essential Skills needs;
- identify possible career pathways;
- undertake industrial visits and/or visits to other providers of training programmes;
- provide a range of appropriate learning experiences;
- take account of the needs and learning styles of individuals;
- maximise opportunities in other areas of training to help the participants in developing Essential Skills;

- provide opportunities for the application of learning in meaningful everyday and occupational contexts;
- provide opportunities for formal accreditation;
- ensure participants learn with a sense of enjoyment; and
- where possible, incorporate the use of IT.

As a result of participation in Skills for Work, it is expected that participants will:

- achieve a Vocationally Related Qualification at Level 1;
- achieve an Essential Skills qualification, where an Essential Skills need has been identified;
- be able to act independently or as part of a team;
- develop creative, information-handling and problem-solving skills;
- identify possible opportunities for training and employment;
- be able to apply for jobs and interviews; and
- identify possible progression routes for training and employment.

### **Pre-Apprenticeship**

Under Pre-Apprenticeship provision, the skills and qualification requirements will be determined by the Sector Skills Council that has responsibility for the particular occupational pathway chosen by the participant. This specification will include the required employability skills to be delivered during the initial 12 week period, as well as any required qualifications to be delivered for those participants who do not find employment after the first 12 weeks and wish to complete the Pre-Apprenticeship provision.

## **1.6 WORK EXPERIENCE**

Work experience activities may include work visits or having representatives from different industries/occupational areas who will advise on employment possibilities/opportunities. Training must also continue in Essential Skills (if appropriate), basic soft skills, and Health and Safety, or other aspects relevant to equipping the young people to participate in work. A Delivery Agreement ([Annex 3](#)) must be completed for every work placement taking place, to allow the participant, the Supplier, and the Work Placement Provider to agree on the specific activities that will take place, as well as when they will take place, in order to address the identified needs of the participant, and to allow all stakeholders to agree on the relative benefits and responsibilities within any work placement. Copies of all Delivery Agreements must be maintained by Suppliers for inspection by the Department.

## **1.7 PARTICIPANT-CENTRED REVIEWING**

The purpose of participant-centred reviewing, which is carried out by the Supplier, is to establish what progress has been made by the participant in relation to objectives contained within the PTP, as well as to the identified needs that are to be addressed over the coming period. Participant-centred reviewing and continuous assessment of progress plays an important part in maintaining motivation throughout the training period, and must be recorded in the PTP. If a guidance issue emerges during the participant-centred review, the participant should be referred to the Careers Service as necessary.

## **1.8 SUMMATIVE ASSESSMENT**

The purpose of summative assessment, which is carried out by the Supplier, is to establish whether a participant has achieved the required level of learning. Generally this may be in the context of the accredited qualification, but it is equally important to assess a participant's achievements in personal effectiveness, personal and social development needs, and Essential Skills. If there is a guidance issue during summative assessment, the participant must be referred to the Careers Service as necessary.

## **1.9 RECORDING ACHIEVEMENT**

The purpose of recording achievement is to provide an overall picture of the participant for third parties. The principles of recording achievement require one individual to be actively involved in negotiating and agreeing learning opportunities and maintaining a Progress File. When completing a Progress File, the Department would expect to see, as a minimum:

- An updated or new CV;
- An updated or new Personal Statement; and
- An updated or new list of achievements.

The Department considers it most important, however, that participants and Suppliers have wholly engaged in the processes involved with Progress File, evidence of which will be demonstrated through:

- Evidence of credits and qualifications;
- An Achievements Log;
- A Personal Development or Career Plan;
- Work Experience reports;

- Other supportive evidence such as certificates and letters of commendation; and
- Copies of reports/progress checks and targets.

Progress File materials can be ordered from the Council for the Curriculum, Examinations and Assessment (CCEA). To request an order form, please contact Mr David Crosbie (Tel: 028 9026 1200 or email: [dcrosbie@ccea.org.uk](mailto:dcrosbie@ccea.org.uk)). Progress File materials will only be provided for participants who are on *Training for Success*. The Department will monitor all requests for such materials. If it is discovered that Suppliers have ordered materials for individuals who are not on *Training for Success*, then the Department will seek reimbursement all funding related to the costs of these additional materials.

#### **1.10 CERTIFICATION**

Where appropriate, application must be made to the Awarding Body for certification to recognise the attainment of full awards or unit achievement.

#### **1.11 PROGRESSION**

Relevant and up-to-date information must be made available to participants on progression paths appropriate to their achievements and future milestones.

An exit interview must be conducted by the Supplier at least 6 weeks before the participant is due to leave *Training for Success*, to allow the Supplier to plan ahead and address administration issues.

In circumstances where the participant leaves early, this exit interview must be conducted as soon as it is known that they intend to leave *Training for Success*. Suppliers must accurately record the pathway of all participants onto the Trainee Management System (TMS), whether the participant has left the provision early, or has progressed.

#### **1.12 PLACEMENT OF PARTICIPANTS IN DAYCARE SETTINGS**

A participant for whom a PTP specifies an occupational aim in the Caring Sector should be informed by the Supplier that placement and training in that sector will be subject to a satisfactory check under *AccessNI*. Suppliers must ask a prospective participant who will be working with young people or vulnerable adults with a learning disability, to declare any reason why they might not be accepted for such training.

Where a person is not suitable, alternative training in a different occupational area should be offered.

### **1.13 REGISTRATION WITH AWARDING BODY (where appropriate)**

Suppliers must be able to provide clear evidence that, by the end of the first 12 weeks of training, each participant has been registered with the appropriate Awarding Body, or application for registration has been made to the appropriate Awarding Body for each participant. Where such evidence cannot be provided, the Department will recover from the Supplier, all monies paid in respect of the participants concerned.

Where Block Registration is used, Suppliers must record the block registrations held, and their allocation to individual participants, within the 12 week period. In addition, to avoid any delays in the receipt of Certificates, Suppliers must adhere to any timescales specified by Awarding Bodies for the registration of participants.

### **1.14 MONITORING (see also [paragraph 1.9](#))**

Suppliers are required to monitor the progress of each participant to ensure that:

- the training being provided meets the training objectives, including the required Essential Skills (if appropriate) specified in the PTP;
- the training objectives including the Essential Skills (if appropriate) are being achieved; and where this is not the case, suitable arrangements are being made for alternative training;
- achievements are recorded through, for example, Progress File and certified where appropriate; and
- the Progress File and all other records of achievements are given to the participant on leaving the Supplier and a summative Progress File is issued for all achievements.

### **1.15 HEALTH & SAFETY**

Both Suppliers and their Training Partners (e.g. sub-contractors and work placement providers) are responsible for ensuring the health, safety, and welfare of all participants. Suppliers must produce a written statement of their Health and Safety policy, together with the general arrangements for carrying out that policy. Suppliers must regularly monitor Health and Safety on all premises, including those of Training Partners and, together with Training Partners, provide a level of supervision consistent with the activities being undertaken.

It is the responsibility of Suppliers, together with their Training Partners, to ensure that staff and participants are provided with and use the necessary safety equipment appropriate to the training and the working environment. Suppliers must make adequate arrangements to provide participants with appropriate Health and Safety induction at each location, together with any supporting instructions or guidance material. Suppliers must assign responsibility for Health and Safety to a named person within their organisation. Any queries concerning Health and Safety should be directed to:

Health & Safety Executive for Northern Ireland

83 Ladas Drive

BELFAST

BT6 9FR

Tel: 028 9024 3249

Freephone Helpline: 0800 0320121

[www.hseni.gov.uk](http://www.hseni.gov.uk)

**1.16 ACCIDENTS** (see also [paragraph 7.18](#))

Suppliers are responsible for investigating and reporting accidents involving a participant, irrespective of whether it occurs on their own premises, or on those of a work placement provider.

**1.17 INSURANCE**

Suppliers must ensure that each participant is fully insured during their period in training. Suppliers have a contractual obligation to ensure that each participant is fully covered by Employers' Liability Insurance and Public Liability Insurance at all times. Suppliers must provide for a Public Liability indemnity level of at least £2m, and it is recommended that they ensure their Training Partners obtain a similar level of Public Liability Insurance cover. Suppliers must also ensure that other relevant insurance (e.g. motor vehicle, product liability, theft, fire etc.) is in force in respect of each participant in *Training for Success*.

Self-employed Training Partners may not have Employers' Liability or Public Liability insurance cover and Suppliers must ensure that insurance arrangements are in place to meet these circumstances. Suppliers must obtain written confirmation of cover from their own insurers and from insurers of Training Partners. An annual statement confirming that their insurance and that of their Training Partners comply with the

requirements of *Training for Success* should be forwarded to Quality and Performance Branch (QPB) – see [Annex 4](#) for a list of useful contacts.

The Department will not accept liability for any injury to a participant, or injury, loss or damage caused by a participant. Participants must not be expected to make any contributions towards insurance costs.

Suppliers should be aware of the *leaflet Business Insurance Needn't Cost an Arm or a Leg* (available on the DETI website: [www.detini.gov.uk](http://www.detini.gov.uk)) which explains that Employers' Liability Certificates should be retained for a minimum of 40 years.

### **1.18 ATTENDANCE RECORDS**

Suppliers must ensure that attendance records are maintained for each participant. Suppliers must also ensure that Training Partners (including work placement providers) submit written attendance records to enable the completion of the 4-weekly claim within the specified time limit (see [Annex 5](#) for Claims Timetable). In addition, Suppliers must retain original copies of attendance records for Departmental inspection purposes, including records of attendance with Training Partners (including work placement providers).

Faxed time sheets may be acceptable by the Department for the payment of Educational Maintenance Allowance and travel expenses to participants. Where this is the case, Suppliers must subsequently obtain/retain the original timesheets for Departmental inspection. For the purposes of all other claims, **the Department will require original timesheets.**

Where attendance records are not available for a period of 4 weeks prior to the most recent period claimed, the Supplier must not change the attendance status in TMS to “submitted” unless original timesheets have been received by the Supplier. Where this is not the case, funding will automatically be recovered from claims as follows:

The Department will recover the full amount of training fee and the EMA paid in respect of periods not covered by attendance records/or periods of absence agreed in the PTP.



### **Participant Travel, Bonus, Lodging and Childcare Costs**

In addition to the above, the Department will recover all participants' travel, lodging, and childcare expenditure paid to a Supplier for any periods not covered by attendance records in respect of participants.

Where a participant is on Work Placement, a separate attendance record ([TfS 7A](#)) must be completed, signed, and returned to the Supplier by the work placement provider for each participant. Where training is provided in-house, it is acceptable for the Supplier to maintain a roll book/attendance register. A sample register sheet is included at [TfS 7B](#).

#### **1.19 ACCOUNTING**

Suppliers are also responsible for:

- maintaining records as required by the Department;
- administering the provision, and providing information to the appropriate Departmental Branch, in the manner and at the intervals specified from time to time by the Department. Claims must be received in Supplier Services Branch (SSB) within 10 working days from the end of each claim period ([Annex 5](#)); and
- ensuring that they and their Training Partners are aware of any VAT liabilities on the exchange of monies, and that all such transactions are appropriately documented for VAT purposes. If in doubt, HM Revenue & Customs must be consulted: <http://www.hmrc.gov.uk>

#### **1.20 STAFF**

Suppliers are responsible for all aspects of the employment of their own staff involved in delivering training provisions, including Contracts of Employment (where appropriate) and any associated liabilities. Suppliers are responsible for the training and development needs of their own staff and ensuring that those involved in training are suitably qualified.

#### **1.21 EQUAL OPPORTUNITIES** (see also [7.3](#))

The Department is committed to delivering its services and provisions in a way that aims to ensure that they are open to all, irrespective of community background, age, gender, marital status, disability, race, political opinion, sexual orientation, or whether or not they have any dependents. Suppliers are expected to operate likewise and each Supplier must therefore have an Equal Opportunities Policy statement.

Suppliers must ensure both in the recruitment to, and in the provision of, training that neither they nor their Training Partners commit an act of discrimination rendered unlawful by the following current pieces of legislation or any amendments to them:

- the Sex Discrimination (Northern Ireland) Order 1996;
- the Fair Employment and Treatment (Northern Ireland) Order 1998;
- the Disability Discrimination Act 1995;
- the Race Relations (Northern Ireland) Order 1997;
- Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003;
- the Sex Discrimination Act (Gender Re-assignment) Regulations Northern Ireland 1999;
- The Employment Equality (Age) Regulations (NI) 2006; or
- Protection of Children and Vulnerable Adults (NI) Order 2003 (POCVA).

Copies of the legislation may be obtained from The Stationery Office (TSO). [www.hmsso.gov.uk/legislation/uk.htm](http://www.hmsso.gov.uk/legislation/uk.htm). Further information and advice may be obtained from The Equality Commission for Northern Ireland: [www.equalityni.org](http://www.equalityni.org)

### **Equality Legislation – Section 75**

The Department's monitoring framework now takes account of community background, gender, ethnicity, disability, marital status, race, age, and dependency status. The Department has an obligation to accurately record under Section 75, the participation breakdown of all young people who are submitted onto a DEL programme. By extension, all Suppliers are required to collect Section 75 data for all *Training for Success* participants.

A Participant Enrolment Form (See [Annex 14](#)) **must** be completed by every participant and the form returned to:

NISRA  
Regional Reporting & EU Programmes Branch  
Freepost NAT5076  
Belfast  
BT1 1ZB

## **1.22 COMMUNITY RELATIONS**

The Department would encourage all Suppliers involved in the delivery of its provision to take whatever action they can to improve and encourage cross-community relations. Whilst Suppliers are free to choose the most appropriate activities for their organisation, consideration should be given to forging close links with other Suppliers and locations that are perceived to be identified with another community.

## **1.23 POLITICAL AND CONTROVERSIAL ACTIVITIES**

Suppliers must not include any activity which is likely to be seen as indoctrinating a participant or as promoting a particular political, religious, or other controversial viewpoint. DEL's Quality and Performance Branch should be consulted if there is any doubt that a proposed activity may not meet the requirement.

## **1.24 RESIDENTIALS, VISITS AND EXCHANGES**

(i) Residential training, or visits and exchanges with other countries, are not compulsory elements of *Training for Success*. These elements may be valuable in enhancing the personal effectiveness of a participant. A booklet entitled *Guidelines on Residential Training and Visits/Exchanges*, which contains guidance for Suppliers wishing to arrange residentials and visits/exchanges, has been developed and has issued to all Suppliers. Further copies are available from Training Programmes Branch on request.

(ii) A number of organisations can provide assistance with the planning of visits/exchanges or support through payment of grants. These will be listed in the booklet. Visits and exchanges have the unique merit of providing an opportunity for a participant to meet people from different cultural backgrounds and to learn from the experience. These elements must be planned as an integral part of the training provision, and have clearly defined learning objectives, although Suppliers should take into account the possible detrimental effect of such visits on the achievement of the participant's targeted outcome.

(iii) Additional funding may be available for residentials.

## **1.25 PARENTAL CONSENT**

The parent(s) or guardian(s) of a participant under the age of 18 must give their written consent for the participant to take part in any of the following:

- a course in Great Britain;
- a residential;
- a visit abroad (outside the UK);
- a sea-going activity (excluding normal sea travel, but including watersports);
- evening or week-end work, or work at other unusual hours; and
- a hazardous activity (i.e. any pursuit or activity where it is recognised that there is an increased risk of injury or accident, or can be reasonably expected to aggravate any existing infirmity).

Where consent is not given, Suppliers must make suitable alternative training arrangements for participants who are not attending.

#### **1.26 TRAINING OUTSIDE THE UK**

In exceptional circumstances where part of the training is required to be delivered outside the UK for a short period, participants who are in receipt of benefits must inform the Social Security Office/Jobs and Benefits Office of their intention to train outside the UK.

#### **1.27 MULTIPLE PLACEMENTS**

Suppliers must ensure that there is a proper balance between the employees of their organisation/Training Partner and the number of participants being placed with their organisation/Training Partner.

Before placing a participant with a work placement provider, it is the responsibility of the Supplier to ascertain the number of participants already in placement with an employer (including those from other Suppliers), and to evaluate the quality of training to be provided. It is recommended that one *Training for Success* participant for up to every five employees should be placed in any one occupational area, and at any one training address, of the employer. It should be noted that if this ratio is exceeded, the Department reserves the right to decide what action should be taken.

## 1.28 PROTECTION OF CHILDREN AND VULNERABLE ADULTS

The Protection of Children and Vulnerable Adults (NI) Order 2003 (POCVA) requires that the Department of Health and Social Services and Public Safety (DHSSPS) maintains a list of individuals who are considered unsuitable to work in a paid or voluntary capacity, with children in a regulated position.

Where a *Training for Success* participant is referred to a work placement in a regulated position, Suppliers must ensure that the relevant checks, as defined by POCVA, have been completed by either the work placement provider or the Supplier before the Apprenticeship provision begins. The same checks must also apply for any new members of staff within Training Suppliers or Training Partners who work in a regulated position.

*AccessNI* came into operation on 1st April 2008 and has replaced the CRO Service delivered by PSNI and the POCVA service provided by DHSSPS. Where a *Training for Success* participant is in a regulated work placement position that involves contact with children, or in a care position involving contact with vulnerable adults, Suppliers must have an Enhanced Disclosure Check carried out by *AccessNI*. A participant must not commence any work placement until the result of a satisfactory *AccessNI* Enhanced Disclosure Check has been received by the Supplier. Similarly, an Enhanced Disclosure Check must be carried out through *AccessNI*, for all new members of staff, either within a Training Supplier or Training Partner, who is in a regulated work position.

The Enhanced Disclosure fee of £30, which is recoverable from the Department, can be claimed by Suppliers via TMS. TMS Memo 06/08 provides information on how to claim the disclosure fee. Proof of payment must be retained by the Supplier for DEL audit purposes.

### **Staffing Levels**

The Children's Order Regulations and Guidance contains restrictions on the number of participants who can be placed in a daycare nursery. The ratio of participants to children's places is one to 20 in the first instance, and one to every 15 additional children's places thereafter ("young people" includes all those participating in *Training for Success*).

Day Nursery Centres can employ staff who are aged 16 and 17 but they must be under supervision at all times.

### **Mobility of Participants**

Given the above restrictions, Suppliers should ensure that participants placed with an employer who operates a number of daycare centres should be allocated to, and remain in, one specified centre for the duration of their training.

For further information, copies of *Our Duty to Care; Principles of Good Practice for the Protection of Young People* and *Getting It Right: Standards of Good Practice for Child Protection* are available from:

N.I. Volunteer Development Agency

129 Ormeau Road

Belfast

BT7 1SH

Tel: 028 9023 6100

[www.volunteering-ni.org](http://www.volunteering-ni.org)

## **1.29 ESSENTIAL SKILLS**

Since September 2007, Suppliers are required to deliver the Essential Skills of Literacy, Numeracy, or Communication and Application of Number in place of the relevant Key Skill. Following the success of the extended ICT Essential Skill pilot, ICT as the third Essential Skill at levels 1 & 2 will be introduced from 1<sup>st</sup> August 2009. From this date the Department will no longer fund the delivery of Key Skill ICT to new participants on TFS. Participants currently undertaking Key Skills ICT can continue to complete their qualification, however, there should be no new enrolments in Key Skills ICT after 31<sup>st</sup> July 2009.

It is the responsibility of the Suppliers to identify the Essential Skill(s) needs of programme participants. The Essential Skills details are critical to the Department's information and data management, and it is therefore imperative that all Suppliers have procedures in place whereby the TMS system is regularly updated with all information relating to Essential Skills.

All Output Related Funding (ORF) requests received in Supplier Services Branch (SSB) for specific **Essential Skills** e.g.

- Entry Level 3 Literacy or Numeracy;
- Level 1 Communication or Application of Number;
- Level 2 Communication or Application of Number;
- Level 1 ICT; or
- Level 2 ICT

will be made “valid” (i.e. non-paying and counting for statistical purposes only), unless the Assessed, Targeted and Achieved level, relevant to the Essential Skill have also been recorded under the “Courses” tab in TMS.

It is imperative that:

- All data associated with the Assessed and Targeted levels of Essential Skills for new participants with an identified Essential Skills need must be entered into TMS under the “Courses” tab.
- Where an Essential Skills need assessment is required for a participant, and where the Supplier has failed to complete the assessment and subsequent recording of Assessed and Targeted levels in TMS under the “Courses” tab within this timeframe, the payment request will also be made “valid” (non-paying) when claimed, and counting for statistical purposes only.

SSB staff will validate each Essential Skills outcome achievement, and payment can therefore only be approved for achievements on production of the necessary certified evidence of achievement. It is important to note that where Essential Skills are being followed, a maximum of three Essential Skills ORF outcome payments are permissible in respect of the following Essential Skills Qualifications:

- one for achievement of Literacy or Communication
- one for achievement of Numeracy or Application of Number
- one for achievement of ICT (Level 1 or Level 2)

### **Exemptions/Relaxations/Concessions**

There are 2 ways that Essential Skills in Literacy and Numeracy and ICT can be met:

- (i) through the Essential Skills qualifications; or
- (ii) through a relaxation/concession. Those who are following a *Training for Success* component and have achieved any of the following qualifications, are

**not** required to undertake the corresponding Essential Skills qualification at Level 1 or 2:

- A-Level (Grades A-E);
- AS-Level (Grades A-E);
- GCSE (Grades A\*- C) in English or English Literature, Mathematics;
- Irish Leaving Certificate (Grades A–C) in English or Mathematics at ordinary/standard level grades; or
- Key Skills/Essential Skills Level 2.

(The Five Year Rule no longer applies to level 2 qualifications in English, Mathematics or ICT)

The relaxation/concession route exempts the participant from the need to undertake an Essential Skill as required, but does not constitute the attainment of an Essential Skill qualification. This also applies to the Key Skill ICT.

The Department has been advised by CCEA that the use of proxy qualifications, as determined by the Qualifications Curriculum Authority (QCA), does not apply to Essential Skills. The portfolio and test aspects of the summative assessment for Essential Skills cannot be separated.

### **Essential Skills Good Practice Guidelines**

The Department recommends that, Essential Skills courses should be at least 40 hours duration per Essential Skills area, based on recommendations by ETI. In those instances where the initial assessment process indicates that the participant is capable of achieving his/her Essential Skills qualification in a shorter period Suppliers will be expected to:

- endorse the initial assessment and confirm the hours of learning required;
- retain evidence to support the quality of teaching and learning for future inspection; and
- ensure that Essential Skills achievements for those participants accessing provision of less than 40 hours reach at least a 90% success rate.



A guideline for best practice for those Suppliers delivering Essential Skills would be for all participants to undergo an initial assessment for Essential Skills.

The initial assessment process will include:

- (i) identification of those participants who already have a Level 2 qualification in English and/or Mathematics and ICT;

**For those participants identified at (i) above there is no requirement to undertake any further initial assessment for a Level 2 qualification.**

For the remaining participants, the initial assessment process should include:

- (iii) rigorous initial and diagnostic assessment that includes a screening of each participant's prior academic achievement in English, mathematics and ICT. Supporting evidence must be held for evaluation and inspection.
- (iv) for Essential Skills ICT the method to be used is at the discretion of the tutor but useful materials are available on the RSCni Moodle site ([www.rsc-ni.ac.uk](http://www.rsc-ni.ac.uk))

**The results of the initial assessment process should be used to determine the level targeted by the participant and to plan individual programmes of learning which reflect accurately the participant's prior achievements and development needs.**

Further guidance on the initial assessment process entitled *Essential Skills Good Practice: The Assessment Process* is available at: [www.essentialskillsni.com/uploads](http://www.essentialskillsni.com/uploads)

In keeping with the Government's aim of raising the skills levels of the entire workforce, where a participant has already achieved a Level 1 qualification in Application of Number, or Communication, the Department would encourage Suppliers to provide the participant with an opportunity to work towards an Essential Skill qualification at Level 2.

- Under *Training for Success*, participants must be targeting a qualification at least one level above their assessed level.
- However, those *Training for Success* participants who have already achieved:

- (i) a GCSE Grade D in English and/or Mathematics should be encouraged to work towards a Level 2 Essential Skills qualification, where applicable to their identified need;
  - (ii) a GCSE Grade E/F in English and/or Mathematics should be encouraged to work towards a Level 1 Essential Skills qualification or higher, where applicable to their identified need; and
  - (iii) a GCSE Grade G in English and/or mathematics should be encouraged to work towards an Entry Level 3 Essential Skills qualification, where applicable to their identified need.
- Tutors would be expected to plan a programme of developmental learning, based on the Adult Literacy and/or Adult Numeracy Core curriculum.
  - For Essential Skills ICT, tutors would be expected to plan a programme to ensure ongoing development and application of skills. If participants have little prior achievement in or experience of using ICT, then the planned programme of learning should be structured to allow them to gain basic ICT skills before targeting Level 1.
  - Summative assessment which includes at Entry Level the Task, and at Levels 1 and 2 the Action-Based Activity and the Desk-Top Task, must not take place until participants have addressed their weaknesses, as identified through the initial assessment process and an on-going process of formative assessment.
  - Essential Skills teaching programme must, where appropriate to the component of *Training for Success*, make full use of the context of the participant's professional and technical area and/or social and personal interests.
  - Where applicable to the component of *Training for Success*, Essential Skills tutors must develop effective links with the professional and technical tutors, and be aware of the training being undertaken in the work placement.
  - Where applicable to the component of *Training for Success*, the professional and technical tutors must consolidate and further develop the participant's Essential Skills through their work in the professional and vocational units and in the work placement.

- For all participants on *Training for Success*, irrespective of the level they are working towards, information (from initial and diagnostic assessment) about the participant's Essential Skills needs, must be recorded on the participant's PTP.
- In almost all cases, there should also be evidence of a Group Learning Plan (GLP), based on the findings of the initial assessment process, to assist tutors in planning their teaching, and in monitoring the progress of participants. In exceptional circumstances, for example, where there are a significant number of participants who are roll-ons and roll-offs, individual learning plans may be deemed more appropriate, to assist tutors in planning their teaching and monitoring the progress of participants; and
- The use of a blended learning approach involving both on-line and face-to-face methods, and the use of Information and Learning Technology (ILT) to support learners and extend their learning are appropriate; and
- Progress towards achievement and final achievement must also be recorded in the PTP.

The Learning and Skills Development Agency (LSDA NI) will provide support to tutors on the completion of the GLP and PTP documents, with reference to the inclusion of Essential Skills.

Any queries regarding any aspect of Essential Skills qualifications should be forwarded in writing to Training Programmes Branch in the first instance.

### **1.30 PERFORMANCE MEASURES**

For the period April 2008 – March 2010, the performance outcome targets at [Annex 6](#) will apply.

### **1.31 EU CHARTER FOR REGIONAL AND MINORITY LANGUAGES**

The EU Charter for Regional and Minority Languages is a convention designed on the one hand to protect and promote regional and minority languages as a threatened aspect of Europe's cultural heritage, and on the other hand to enable speakers of a regional or minority language to use it in private and public life. Its overriding purpose is cultural.

Article 8 of the Charter relates to requirements for professional and technical training, which may include the provision of training in a regional/minority language (Irish and Ulster Scots in the case of Northern Ireland), should there be a reasonable demand for such provision.

Suppliers will wish to familiarise themselves with the Charter, and the requirements which may arise from it. A copy of the Charter, and additional information, is available at the link below:

[http://www.coe.int/T/E/Legal\\_Affairs/Local\\_and\\_regional\\_Democracy/Regional\\_or\\_Minority\\_languages/](http://www.coe.int/T/E/Legal_Affairs/Local_and_regional_Democracy/Regional_or_Minority_languages/)

# **SECTION 2**

## **FUNDING**

## **2.0 FUNDING**

### **2.1 INTRODUCTION**

This section sets out the funding arrangements for Suppliers delivering *Training for Success*. Section 3 covers allowances payable to *Training for Success* participants. See Funding Tables at [Annex 7](#).

The funding structure of *Training for Success* is designed to enable and/or encourage participants to gain accredited qualifications including Non-National Vocational Qualifications (NNVQs), Essential Skills (where applicable), as well as job outcomes. Incentives for Suppliers in the form of Output-Related Funding (ORF) have been incorporated into the funding framework.

Funding will also be provided on completion of an electronic PTP submitted through TMS.

### **2.2 WEEKLY TRAINING FEE**

A participant who is assessed as needing additional assistance before progressing to Level 2/Level 3 Apprenticeship training or employment must first be registered as a participant on *Training for Success* with a National Database Accredited Qualification (NDAQ) code.

Suppliers will receive a weekly training fee for each week of participation by a participant. Training fees will be paid where the participant is following a PTP approved by the Department. [The rates at which the training fees will be paid and the number of training weeks supported are set out in funding tables ([Annex 7](#))].

A higher funding rate is payable in respect of participants with a disability in the Personal Development/Skills for Your Life and Skills for Work components, and there is a disability supplement under the Pre-Apprenticeship component.

On entry to *Training for Success*, the PTP will detail the training and development needs and objectives to be met during the training period, consistent with the participant's assessed capability and aspirations.

## 2.3 OUTPUT-RELATED FUNDING

### 2.3.1 Personal Development/Skills for Your Life

Suppliers will receive a maximum of £1,200 ORF, based on achievement of the qualification and progression outcomes, as detailed in the funding tables at [Annex 7](#) and as follows:

- (a) A maximum of £700 of the total ORF will be paid in respect of achievement of qualification outcomes:
- £400 of the total ORF in respect of achievement of a Vocationally Related Qualification (VRQ) as specified in the PTP; and
  - A maximum of £300 of the total ORF in respect of Essential Skills. This is limited to one payment of £100 per young person in respect of each of the Essential Skills qualifications: Literacy/Communication, Numeracy/Application of Number, and ICT Level 1/Level2, provided the level achieved is at least one level above the level at which the participants was assessed.
- (b) A maximum of £500 of total ORF will be paid for progression outcomes (i.e. a sustained employment outcome, progression within *Training for Success* to either Skills for Work or Pre-Apprenticeship, or to Level 2 Apprenticeship or Level 3 Apprenticeship within *ApprenticeshipsNI* provision, or to a higher level of further education that is sustained for a continuous period of at least 13 weeks **immediately** following the date on which the participant left the Personal Development/Skills for Your Life component). Participants must have completed a minimum of 13 weeks training on Personal Development/Skills for Your Life.

Where an Essential Skills need has been identified, then Essential Skills must be a mandatory part of the participant's training programme.

ORF payment for outcomes in respect of employment or a higher level of further education will only be paid **once** in respect of any participant. ORF related to qualification attainment and other outcomes is only payable in respect of the qualification and other outcomes agreed in the PTP, and must be claimed within 7 claim periods after the claim period in which the participant leaves the *Training for Success* component.

### 2.3.2 Skills for Work [See - [Annex 7](#)]

Suppliers will receive a maximum of £1,200 ORF, based on achievement of the qualification and progression outcomes as detailed in the funding tables, and as follows:

- (a) A maximum of £700 of the total ORF will be paid in respect of achievement of qualification outcomes:
  - £400 of the total ORF in respect of achievement of a Vocationally Related Qualification as specified in the PTP; and
  - A maximum of £300 of the total ORF in respect of Essential Skills. This is limited to one payment of £100 per young person in respect of each of the Essential Skills qualifications: Literacy/Communication, Numeracy/Application of Number, and ICT Level 1/Level2, provided the level achieved is at least one level above the level at which the participants was assessed. Participants must follow a level of Essential Skills above the level at which they have been assessed.
  
- (b) A maximum of £500 of total ORF will be paid for progression outcomes (i.e. a sustained employment outcome, progression within *Training for Success* to Pre-Apprenticeship, or to Level 2 Apprenticeship or Level 3 Apprenticeship within *ApprenticeshipsNI* provision, or to a higher level of further education that is sustained for a continuous period of at least 13 weeks **immediately** following the date on which the participant left the Personal Development/Skills for Your Life component). Participants must have completed a minimum of 13 weeks training on Skills for Work.

ORF payment for outcomes in respect of employment or a higher level of further education will only be paid **once** in respect of any participant. ORF related to qualification attainment and other outcomes is only payable in respect of the qualification and other outcomes agreed in the PTP, and must be claimed within 7 claim periods after the claim period in which the participant leaves the *Training for Success* component.

- (c) Under Skills for Work, where a participant has been identified as having a disability, then up to a maximum of 156 weeks will be allowed for completion.



The actual time to be spent must be tailored to the specific circumstances and abilities of the individual participants and must be reflected in the PTP. The maximum funding for this option is also set out in the funding tables.

### 2.3.3 Pre-Apprenticeship [See [Annex 7](#)]

Suppliers will receive a maximum of £1,200 ORF, based on achievement of the qualification and progression outcomes as detailed in the funding tables, and as follows:

- (a) A maximum of £700 of the total ORF will be paid in respect of achievement of qualification outcomes:
  - £400 of the total ORF in respect of achievement of a Vocationally Related Qualification as specified in the PTP; and
  - A maximum of £300 of the total ORF in respect of Essential Skills. This is limited to one payment of £100 per young person in respect of each of the Essential Skills qualifications: Literacy/Communication, Numeracy/Application of Number, and ICT Level 1/Level2, provided the level achieved is at least one level above the level at which the participants was assessed. Participants must follow a level of Essential Skills above the level at which they have been assessed.
- (b) A maximum of £500 of total ORF will be paid for progression outcomes (i.e. a sustained employment outcome, progression to Level 2 Apprenticeship or Level 3 Apprenticeship within *ApprenticeshipsNI* provision, or to a higher level of further education that is sustained for a continuous period of at least 13 weeks **immediately** following the date on which the participant left the Personal Development/Skills for Your Life component). Participants must have completed a minimum of 13 weeks training on Pre-Apprenticeship.

ORF payment for outcomes in respect of employment or a higher level of further education will only be paid **once** in respect of any participant. ORF related to qualification attainment and other outcomes is only payable in respect of the qualification and other outcomes agreed in the PTP, and must be claimed within 7 claim periods after the claim period in which the participant leaves the *Training for Success* component.

## **2.4 PARTICIPANT BONUS PAYMENTS**

Participant bonuses (as set out in [Annex 7](#)) must be paid **immediately** to participants by the Supplier on achievement of each of the stages. Amounts paid will then be reimbursed. Evidence of payments to participants must be retained for inspection.

## **2.5 RESIDENTIALS**

Where a PTP includes participation in a residential that has a clear development goal, a request for approval for that residential must be submitted to Training Programmes Branch. The Supplier can claim actual costs up to a maximum of £100 per participant.

## **2.6 UNAPPROVED OR INELIGIBLE EXPENDITURE**

The Department would remind Suppliers that they can only claim entitlement to funding which is either in accordance with the Operational Guidelines or has been specifically approved by the Department. Appropriate recovery of funding will be made in instances where the Department determines that claims have been ineligible, or there is insufficient supporting documentation.

## **2.7 NOTES REGARDING PAYMENTS**

Where accredited qualifications are being undertaken, the National Database of Accredited Qualifications and the list of approved qualifications will be used as references for validation purposes for the payment of training fees and ORF. <http://www.ndaq.co.uk/>

Where a participant transfers from one *Training for Success* Supplier to another and successfully completes an approved qualification for which ORF is payable, it is the responsibility of the Suppliers concerned to agree the amount of ORF payable to each of them. In cases where agreement cannot be reached, Training Programmes Branch, in conjunction with Quality Performance Branch, will act as an arbitrator.

Where the attendance of any participant is not in accordance with the *Training for Success* Operational Guidelines, or where the participant is not following or ceases to follow the agreed PTP, payments made by the Department will cease and the Department will be entitled to recover all payments made.

## **2.8 CALCULATION OF PARTICIPANT WEEKS**

The number of expected training weeks must be calculated from the end of week one; i.e. the Sunday directly following the participant's start date.

## **2.9 OTHER INCOME**

Suppliers may supplement funding, provided that they do not involve any activities of an illegal or immoral nature, or which have a detrimental effect on the quality of the training being provided. Contributions towards the costs of training must not be sought from participants or their parents/guardians.

## **2.10 OTHER SUPPORT FUNDED BY THE DEPARTMENT**

Specialist Support Services are available for a participant with an auditory, visual, or other physical disability as follows:

### **2.10.1 Specialist Support for *Training for Success* Suppliers**

Specialist Support Providers will be required to work in conjunction with Suppliers delivering the three components of *Training for Success*. It is important to ensure that participants with disabilities and/or additional support needs are not disadvantaged and are given every opportunity to overcome their difficulties and develop using the most appropriate support mechanisms. Suppliers must consider the merits of securing support from a Specialist Support Provider and engage this support as required.

### **2.10.2 Specialist Support Funding**

The Department will fund up to a maximum of £1,000 towards the provision of Specialist Support, where the need has been identified in the participant's approved PTP. A Supplier can only secure specialist support from those organisations currently listed at [Annex 8](#).

In addition, a Disability Premium/Supplement may be payable to the Supplier to provide additional resources in terms of training time, equipment, or support in order for the participant to benefit fully from training (see notes in [Annex 7](#)).

### **2.10.3 Target Group for Specialist Support**

It is the Department's intention that participants requiring additional Specialist Support are given every opportunity to overcome difficulties and to develop using the most appropriate support mechanisms.

Within the Personal Development/Skills for Your Life and Skills for Work target group, the specific needs are difficult to define, such is the range of characteristics displayed by the group. The following list, which is not exhaustive, displays some of the problems participants may present during training that will have to be addressed:

- inability to relate to peers;
- history of trouble and conflict with authority;
- possible involvement in illegal, paramilitary, or antisocial activities;
- drug or health-related problems;
- alcohol, solvent, or drug-related abuse or dependencies;
- homelessness;
- parenting;
- pregnancy;
- the responsibility of caring for other family members;
- other psychological/physiological problems requiring help and support;
- disabilities; and
- difficulties experienced due to having been in/leaving care.

In addition, the following is a general list of qualities and characteristics that may also be common to many of the participants in this group:

- poor levels of literacy and numeracy skills;
- poor record of attendance during the last year in school;
- very low level of achievement (if any) in formal school-based examinations;
- poor behaviour in, or attitude to, education, training and/or employment;
- second or third generation unemployed;
- low level of motivation; and
- poorly developed or unrealistic career aspirations.

#### 2.10.4 Definitions of Young People with Disabilities

Some young people entering *Training for Success* may need significant additional input of resources in terms of training time, equipment, or support in order to fully benefit from training. Such young people may have a disability or a serious behavioural or emotional problem which may be reflected in the fact that they have a current statement of special educational need and/or have attended a special

school/unit. These young people are likely to be at a substantial disadvantage in the labour market.

The following definitions apply:

The definition in the Disability Discrimination Act (DDA) is intended to cover people who would generally be regarded as disabled. Under the DDA, disability is defined as “a physical or mental impairment, which has a substantial and long-term adverse effect on a person’s ability to carry out normal day-to-day activities.” For example people with:

- Learning Disabilities
- Speech Disabilities
- Physical Disabilities
- Epilepsy
- Mental ill health
- Arthritis
- HIV
- Hearing Disabilities
- High Blood Pressure
- Brain Injury
- Diabetes
- Visual Impairment
- Cancer
- Multiple Sclerosis

The main meaning of long-term is lasting, or being likely to last, at least 3 months and there has to be an effect in one of a number of areas listed in the DDA. The areas are:

- mobility;
- manual dexterity;
- physical co-ordination;
- continence;
- ability to lift, carry or otherwise move everyday objects;
- speech;
- hearing or eyesight;
- memory or ability to concentrate;

- learn or understand, and
- perception of the risk of physical danger.

People with what are commonly known as learning disabilities or with long-lasting mental ill health could clearly also fit within this definition (depending on the particular effects on each individual). There are many disabilities where it may be immediately obvious whether they fit into this main definition. The DDA therefore includes provisions to ensure that the following sorts of conditions generally count as disabilities:

- People with some long-lasting or permanent conditions, such as arthritis, can experience periods without substantial effects.
- Some long-lasting or permanent conditions, such as multiple sclerosis, are likely to deteriorate over time until they have substantial effects, but may in the earlier stages only have very small effects.
- Some long-lasting or permanent conditions, such as diabetes, can have their substantial effects greatly reduced or removed by medication or other treatment.
- Severe disfigurements may have no effects at all.

The position in any individual case will depend on the precise facts. In addition, regulations made under the DDA ensure that a number of conditions (such as alcoholism or nicotine dependency) do not count as disabilities.

Anyone who was disabled under the Disabled Persons (Employment) Act (Northern Ireland) 1945 both on 12 January 1995 and 2 December 1996 will be regarded as having had a disability in the past, if they do not in any case fall within the definition of the DDA. Where there is a dispute regarding whether or not a person meets the definition of being disabled, only an Industrial Tribunal or County Court can decide if that person meets the definition, as stated in the DDA.

Not all young people who have a statement of special educational need will be required to undertake *Training for Success*. An apprenticeship route, further education, or employment may better meet their training needs.

For further information regarding the definition of disabled under DDA see [http://www.equalityni.org/archive/pdf/guideforeverybody\(R\).pdf](http://www.equalityni.org/archive/pdf/guideforeverybody(R).pdf)

### 2.10.5 Definitions of Young People under Care [Source: Children (Leaving Care) Act (NI) (2002)]

#### Categories of young people who qualify under the Children (Leaving Care) Act (NI) (2002)

- (i) **Eligible Young Person:** Children aged 16 and 17 who have been looked after for at least 13 weeks since the age of 14 and who are still looked after.
- (ii) **Relevant Young Person:** Children aged 16 and 17 who have left care and before leaving care were eligible children. (Any child who has been in a family placement for a period of 6 months or more is not treated as a relevant child. This applies whether the period of 6 months commences before or after a child ceases to be looked after by the residence order in respect of the child before they went into care).
- (iii) **Former Relevant Young Person:** Care leavers aged 18 – 21 who have been eligible or relevant or both. (If at age 21 and still being helped with education or training they remain Former Relevant Children until the end of agreed programme of education or training even if that takes them past the age of 21).
- (iv) **Qualifying Young Person:** Any young person (including those who do not fall into any of the previous three categories) aged under 21 (under 24 if in education or training) who ceases to be looked after or accommodated in a variety of other settings, or privately fostered after the age of 16.

### 2.10.6 Definitions of Young People with Additional Needs

Young people with additional needs are defined as those who, because of a disadvantage, may not be immediately suited to entering training at Level 2 Apprenticeship or above, and require additional input of resources in terms of training time, equipment, or support, but do not fall into the disabled category. This may include young people who require further development in literacy and/or numeracy. Others may be included at the discretion of the Careers Adviser, where a clear need has been identified; e.g. young people who:

- have linguistic difficulties. For example, difficulties with English language, speech defects, or receptive disorders;

- exhibit behavioural or emotional problems which would limit their progress in training; or
- display lack of motivation through low self-esteem or disinterest in career or life prospects.

Evidence of additional needs can be obtained from various sources. The most important sources will be the school, in particular Careers Teachers and Special Educational Needs Coordinator. Other agencies including the Careers Service, Social Workers, Probation Officers, and Educational Welfare Officers will also be important sources of information.

#### **2.10.7 Services that Specialist Support Providers will be Required to Deliver**

Specialist Support Providers will work closely with the Department, the Department's Careers Advisers, and Suppliers contracted to deliver *Training for Success*. Specialist Support Providers will be expected to deliver their services throughout Northern Ireland.

The Specialist Support Provider will be required to deliver:

- In-depth involvement with the Supplier in the delivery of the participant's PTP;
- Counselling to increase and improve a participant's confidence, self-esteem and value, enabling them to progress within their training; and
- Pastoral Care – to ensure that appropriate child protection and equality policies are provided and observed.

#### **2.10.8 Specialist Support – Supplier Arrangements**

A list of Specialist Support Providers is available at [Annex 8](#). Suppliers will specify programmes of work and select the most appropriate Specialist Support Provider to address the needs of an individual, as identified in the participant's PTP.

#### **2.10.9 Provision Review**

For the purpose of assessing, monitoring, and evaluating the Specialist Support Provider's performance, Officers of the Department or its Agents shall be allowed reasonable access to the Supplier's premises and, where necessary, will be permitted to interview staff, administrators, participants and all relevant records therein.



# **SECTION 3**

## **ALLOWANCES TO PARTICIPANTS**

### **3.0 ALLOWANCES IN RESPECT OF *TRAINING FOR SUCCESS* PARTICIPANTS**

#### **3.1 PARTICIPANT'S EDUCATIONAL MAINTENANCE ALLOWANCES (EMAs)**

Educational Maintenance Allowance of £40 per person per week will be introduced with effect from 1st September 2008 for all young people participating in *Training for Success*. The current rate of EMA for participants including those from other European Union States is set out in [Annex 7](#). A participant must receive an EMA weekly (unless the participant agrees otherwise). Payment must commence not later than the end of the second week of training and must be made by the Supplier.

#### **3.2 PARTICIPANTS ELIGIBLE FOR INCOME SUPPORT**

Following the legislative changes to Child Benefit/Child Tax Credit from April 2006, families of young people aged 16-19 who are participating in *Training for Success* may be entitled to Child Benefit/Child Tax Credit.

*Training for Success* participants will receive an EMA of £40 per week until they complete their period of training, or they progress to Level 2 or Level 3 Apprenticeship.

Some participants may have personal circumstances where they have entitlement to additional financial support from the Social Security Agency (SSA) if, for example, they are disabled; a lone parent; a carer; estranged from their family and suffer severe hardship. Suppliers should advise participants that if they have personal circumstances which may require additional financial support they should contact their local Social Security Office/Jobs and Benefits Office, to discuss their individual circumstances and get further advice about making an Income Support claim.

Where the training of a 19 year old is to continue after his/her 20<sup>th</sup> birthday, the payment of Child Benefit will cease on his/her 20<sup>th</sup> birthday. The participant should therefore be referred to the local Social Security Office/Jobs and Benefits Office to discuss their personal circumstances and establish whether additional financial support (in addition to their EMA) is required.

It should be noted that Income Support (where payable) may alter in line with changing personal circumstances and it is the responsibility of the participant to report any such changes to their local Social Security Office/Jobs and Benefits Office.

Any queries that a participant may have concerning the financial support should be addressed, in the first instance, to the local Social Security Office/Jobs and Benefits Office.

A participant in receipt of EMA will be exempt from payment of National Insurance (NI) contributions.

### **3.3 ADDITIONAL PAYMENTS TO PARTICIPANTS ON WORK EXPERIENCE**

Suppliers should be aware that additional payments to a participant of an amount in excess of the EMA should be cleared with HM Revenue and Customs (HMRC) or SSA Office, as such payments may generate Income Tax and/or National Insurance Contribution liabilities.

### **3.4 PARTICIPANT BONUS** (see also [paragraph 2.4](#))

A participant will receive a bonus payment on completion of each of the payment stages as detailed in the funding tables at [Annex 7](#). If a participant transfers between Suppliers, the bonus will be payable when the next stage is reached.

### **3.5 TRAVEL COSTS IN RESPECT OF PARTICIPANTS**

Participants must pay the first £3 towards any weekly travel costs incurred. The Department will make a contribution towards the cost of weekly travel in respect of each participant whether or not they incur expenses. The contribution will be based on the address of the Supplier with regard to the contract management area. Details of the amounts are provided at [Annex 9](#). The Supplier should enter the appropriate travel rate into TMS under the “Expenses” facility. The travel costs, minus the participant’s £3 contribution, will be reimbursed by the Supplier to the participant.

Participants will be expected to avail of training within the Contract Management area in which they live. However, if training is available locally but the participant chooses a preferred Supplier in another area, then the Department will not make a contribution towards the travel expenses incurred.

In exceptional cases, it may be necessary for a participant to travel by taxi, either because public or private transport is not available, or because physical disability makes public transport unsuitable. The weekly cost of taxi fares, minus the first £3, will be reimbursed by the Department. Three written quotations from properly insured and registered taxi firms must be obtained and suppliers should only accept the

lowest quotation unless there are mitigating circumstances for not doing so. Suppliers must seek prior approval from the Training Programmes Branch for taxi costs over £50 per week, and the related quotations should be submitted to Training Programmes Branch along with Approval Form [TfS 13](#). Suppliers must ensure that quotations and receipts are retained and kept for audit purposes.

Form [TfS 13](#) must be submitted and written approval granted before any claims are made via TMS. Suppliers must ensure that payments for taxis are made directly to the taxi company and not the participant. The taxi company must provide the Suppliers with invoices and the accuracy of the invoice detail must be checked against the Supplier's records before submitting claims to the Department.

Suppliers using vehicles, whether owned or hired, for transporting participants to and from the training location may charge a *Training for Success* participant up to the cost of an equivalent journey by public transport. Suppliers must ensure that they have adequate insurance cover for the vehicles and obtain an appropriate licence from the DVLANI: [www.dvni.gov.uk](http://www.dvni.gov.uk).

Participants who use their own transport and who qualify for travel costs will be paid £0.25p per mile. Participants must pay the first £3 towards any weekly travel costs incurred.

### **3.6 LODGING ALLOWANCE**

In exceptional circumstances, a participant may be eligible for lodging allowance in respect of accommodation which is not of a furnished/unfurnished letting, and applications for funding may be made in writing by the Supplier to Training Programmes Branch through Form [TfS 16](#).

Participants who voluntarily travel outside their home Contract Management Area are not eligible to apply for lodging allowance, where similar training is available within their home Contract Management Area. Where a participant who is in receipt of Income Support enters lodgings and receives payment of lodging costs during the participant's time in *Training for Success*, the participant must inform the SSO/Jobs and Benefits Office.

### 3.7 CHILDCARE PAYMENTS IN RESPECT OF PARTICIPANTS

3.7.1 The aim of childcare payments is to help any participants who are particularly disadvantaged in entering the labour market because they have childcare responsibilities.

- (i) The contribution rates payable by the Department are set out in [Annex 10](#). Applications for childcare costs up to £50 per week may be authorised by the Supplier. Those in excess of £50 per week must be referred to Training Programmes Branch for approval. Such applications must be made on form [TfS 4](#) on the first day a participant joins *Training for Success*.
- (ii) The upper age limits in respect of children for whom childcare assistance is payable are:
  - the first Tuesday in September following a child's 15<sup>th</sup> birthday; or
  - in the case of a child in receipt of Disability Living Allowance or who is registered blind, the first Tuesday in September following their 16<sup>th</sup> birthday.
- (iii) Applications for childcare assistance can be made by:
  - a lone parent on *Training for Success*;
  - a *Training for Success* participant whose partner is also on *Training for Success*, or other Departmental training programmes where Benefit-Based Training Allowance (BBTA) or EMA is being paid;
  - a *Training for Success* participant whose partner is in receipt of one or more of the following qualifying benefits:
    - Attendance Allowance (AA);
    - Constant Attendance Allowance;
    - Disability Living Allowance (DLA);
    - Disability or Higher Premium Pension;
    - Incapacity Benefit (IB) where the rate payable is short-term higher rate or long-term lower rate; and
    - Severe Disability Allowance (SDA).
  - a participant who makes arrangements for the care of the child(ren) on a fee-paying basis with a carer, childminder, day nursery, or a crèche which is registered with the appropriate authority.

- (iv) Payment of Childcare must be made by the Supplier directly to the carer. To do otherwise may jeopardise the participant's level of Income Support (if applicable). The participant should be told how the payments are to be made and the reason for doing so.
- (v) Payment of Childcare can be paid to a relative who is not a Registered Child minder. For the purpose of payment, a relative is defined as someone who is over 18 years of age and who is a grandparent, brother, sister, aunt, or uncle of the child(ren).
- (vi) Childcare claims must be calculated on an hourly rate per child and based only on the actual hours per day during which the child has been in the child minder's care.
- (vii) The purpose of the payment of a retainer fee is to ensure that the childcare place is kept available and not reallocated. The retainer fee is therefore only payable to Registered Child minders where the childcare place is temporarily unfilled. Whilst childcare payments may be made to relatives who are not Registered Child minders and who child mind for lone parents, the payment of a retainer fee is not deemed necessary or appropriate in such circumstances.
- (vii) In cases where a participant is absent from training because of illness or casual absence (unauthorised leave or annual leave), the full retainer fee may be paid for such days, providing the childminding facility's terms and conditions clearly set out that the payment is required for those days.
- (ix) It should be noted, however, that the Department will only reimburse fees in the above circumstances for a maximum of 15 days (pro rata for those not on 35-hours/5 days training in respect of sickness, 5 days in respect of Unauthorised Absence and up to 25 days in respect of Annual Leave taken by the participant.
- (x) The retainer fees are not payable for periods when the child minding facility is not available.

# **SECTION**

# **4**

## **CONDITIONS FOR PARTICIPANTS**

## 4.0 CONDITIONS FOR PARTICIPANTS

### 4.1 INTRODUCTION

Each participant is subject to the terms and conditions of *Training for Success*, as laid down in these Operational Guidelines, including disciplinary and grievance procedures. The Supplier must ensure that each participant is aware of the terms and conditions which apply. Each participant must receive a copy of the PTP which details the provision of training and any particular support needs, which will enable the participant to achieve the training objectives identified during the completion of the PTP. Each participant must also receive a copy of the *Participant Handbook* (to be issued to Suppliers separately).

Additionally, each participant must receive an EMA (See also [3.1](#) and [Annex 7](#)).

### 4.2 AUTHORISED ABSENCES

A participant may be allowed reasonable time off in the following circumstances:

- to attend interviews for employment or Further Education;
- to attend interviews with the Department for Employment and Learning/Social Security Agency/Jobs and Benefits Office/Careers Office;
- to take written examinations or external competitive assessments related to the professional and technical qualifications being pursued;
- to attend a court of law;
- to attend a Community Service Order as directed by a Court of Law;
- for domestic emergencies including immediate family bereavements;
- to attend annual training courses or camps. A participant who is a member of the Auxiliary or Reserve Forces and who is required to attend annual training courses or camps may be granted special leave for a maximum of 2 weeks;
- to attend hospital/doctor/dentist appointments; only in emergencies or where these cannot be arranged outside the hours of participation;
- to attend regular hospital visits or health checks for participants with disabilities; and
- to attend events directly associated with *Training for Success*.

A participant should be allowed time off in the above circumstances without deductions from EMAs.



#### **4.3 UNAUTHORISED ABSENCES**

A participant absent without permission for more than five consecutive training days should be treated as having left *Training for Success*. The date of leaving should be the fifth day of absence.

If the participant takes part in industrial action lasting for more than five consecutive days, then the participant should be treated as having left *Training for Success*, and the Supplier should use its discretion in considering whether the participant should subsequently be allowed to re-enter *Training for Success*.

In the event of training provision being disrupted because of industrial dispute or short-time working on the part of the Supplier's staff, the Supplier must immediately advise Quality and Performance Branch. Where the disruption lasts for more than five consecutive training days and alternative arrangements have not been made, funding in respect of any participants affected will cease from the 6<sup>th</sup> day.

If a participant is absent without permission and is unable to provide a satisfactory explanation, the participant must not receive EMA for the period of absence. One fifth of the normal weekly allowance should be deducted for each full day of unauthorised absence. Deductions for absences of less than one day are at the discretion of Suppliers. A Supplier must invoke disciplinary procedures where a participant has been absent without permission for five consecutive unauthorised days.

#### **4.4 INTERRUPTED TRAINING**

To protect the balance of training remaining, where a period of training is interrupted due to pregnancy, custodial sentence, or care order, the payment of training fee and EMA contribution will be discontinued. In these circumstances, a participant should be encouraged to re-enter *Training for Success* following the enforced interruption, in order to receive the balance of training.

If a participant reaches the age of 18 during a period of "interrupted training", they may re-enter *Training for Success* to receive the balance of training.

Where the interruption is due to pregnancy, the participant should be permitted to continue in training for as long as she is able and should be actively encouraged to return to training after her pregnancy, to complete her entitlement.

Interruption to training must not be used for sickness or accidents. In circumstances where the duration of an illness is more than 3 weeks, the Termination Code “sickness” must be entered into TMS.

#### 4.5 HOURS OF ATTENDANCE

##### **Personal Development/Skills for Your Life**

Under the *Personal Development/Skills for Your Life* component, participants are required to undertake in-house training and assessment (directed training) for a minimum of 10 hours per week and a maximum of 35 hours per week, for the first two weeks of the assessment period. The remaining 10 weeks of the assessment period will take place over a minimum of 21 hours per week and a maximum of 35 hours per week of in-house, directed training per week, and the Department will not be prescriptive about the number of days per week that the participant must attend the programme.

Following the initial period of 12 weeks assessment, participants are required to continue receiving a minimum of 21 hours per week of in-house, directed training, from weeks 13 - 25 of the provision. Again, the Department will not be prescriptive about the number of days per week over which the provision should take place. In the remaining time outside this directed training, participants should be encouraged to take part in work placements, sheltered work placements, or job sampling, with a view to gradually building up to 35 hours attendance per week by week 26 of the provision. Work placements cannot begin until a full PTP has been agreed.

From week 26 to week 52 of the provision, Suppliers must ensure that participants are on provision for 35 hours per week, of which a minimum should be 14 hours of directed training. The remaining time must comprise work placements and/or job sampling.

This approach can be set out as follows:

12 Week Assessment by Suppliers, of which the first two weeks must comprise a minimum of 10 hours per week in directed training. The remaining 10 weeks of the assessment must take place over a minimum of 21 hours per week in directed training



Weeks 13-25 of the provision must comprise a minimum of 21 hours per week in directed, in-house training, with participants being encouraged to participate in work placements or job sampling in the time outside of the directed training, with a view to gradually building up to a total of 35 hours participation per week by the end of this period



Weeks 26-52 of the provision must comprise 35 hours per week of attendance, with a minimum of 14 hours per week of directed, in-house training. The remaining time in provision must be spent in work placements or job sampling



Progression

### **Skills for Work**

Under the *Skills for Work* component, participants will undergo 12 weeks comprehensive and robust assessment and employability skills training, to determine his/her learning needs, and to establish whether the *Skills for Work* component is the appropriate component for training. This assessment/training must take place over a minimum of 21 hours per week and the Department will not be prescriptive on the number of days per week. Where assessment has been completed and a PTP agreed before the full 12 weeks has elapsed, the remainder of the initial 12 week period must comprise employability skills training. Work placements cannot begin until a full PTP has been agreed, and the PTP must not be submitted until at least the first four weeks of the provision have been completed.

The initial 12 week assessment/employability skills period will then be followed by a period combining in-house, directed training and work placements (if the participant is assessed as capable of undertaking a work placement). Once the initial 12 week assessment period has been completed, the participant must then undertake a minimum of 21 hours per week in programme attendance, of which a minimum of 14 hours will be in directed, in-house training, and a maximum of 21 hours per week will be in work placement. Participants must, during this period, be encouraged to attend for 35 hours per week as soon as possible.

Participants should only have access to work placements if they are assessed as capable of doing so. Where this is not the case, the minimum attendance requirement of 21 hours per week should therefore be in directed, in-house training, until the participant is capable of accessing work placements.

The Department will not be prescriptive about the number of days per week over which the minimum attendance requirement should take place. Participants must, however, gradually build up to 35 hours attendance per week by week 26 of the provision. Where a participant cannot attend for a total of 35 hours per week during this period (i.e. from the completion of the PTP until week 25), then the participant's PTP should clearly state the reasons for this, as well as the actions and activities that a Supplier will undertake, to ensure that the participant is able to attend for 35 hours as soon as possible. The PTP should also specify a date by which the participant will attend 35 hours per week.

From week 26 to week 52 of the provision, participants must be on provision for a total of 35 hours per week, of which a minimum must be 14 hours of directed, in-house training. The remaining time should comprise work placements.

This approach can be set out as follows:

12 Week Assessment/employability skills training by Suppliers. This period will have a minimum attendance requirement of 21 hours directed, in-house training per week, and work placements will not be permitted until a PTP has been completed (after first four weeks)



Provision until week 25 will comprise a minimum of 21 hours per week in programme attendance, which will include a minimum of 14 hours directed, in-house training. Participants may undertake work placements outside of the directed training requirement, with a view to gradually building up to a total of 35 hours participation per week. Participants should be encouraged to attend for 35 hours per week as early as possible, and the PTP should address any reasons preventing this.



Weeks 26-52 of the provision will comprise a required 35 hours per week of attendance, with a minimum of 14 hours per week of directed, in-house training. The remaining time in provision should be spent in work placements.



Progression

Where no relevant work placement can be found for a participant, the participant must nevertheless continue in in-house, directed training for a minimum of 21 hours per week. However, where this is the case, a Supplier must provide robust evidence

of its attempts to source a work placement, and must retain this evidence for inspection by the Department.

### **Pre-Apprenticeship**

Under the *Pre-Apprenticeship* component, participants must undergo a 12 week period of assessment and employability skills training, to determine their learning needs and to establish whether the *Pre-Apprenticeship* component is the appropriate component for training. A completed PTP must be submitted onto TMS after a minimum of four weeks and before a maximum of 12 weeks from the start of provision. Where a PTP is submitted before the maximum of 12 weeks, then all remaining time during the initial 12 week period must be spent on employability skills training. The initial 12 week block must be delivered on the basis of a minimum of 21 hours in-house, directed training and a maximum of 14 hours work placement per week. Work placements must not begin until a full PTP has been agreed.

Following the initial 12 week period, attendance on the *Pre-Apprenticeship* component must be provided on the basis of 35 hours per week, of which a minimum of 14 hours per week is in-house, directed training, and a maximum of 21 hours is on work placement. Suppliers must, however, ensure that the requirements of the Pre-Apprenticeship component, as specified by the relevant Sector Skills Council, can be met.

Where a Supplier cannot find a work placement in the participant's chosen occupational area, the Department will permit a work placement in a related occupational area, where transferable skills can be demonstrated. Where no relevant work placement can be found for a participant, the participant must nevertheless continue in in-house, directed training for a minimum of 21 hours per week. However, where this is the case, a Supplier must provide robust evidence of its attempts to source a work placement, and must retain this evidence for inspection by the Department. Furthermore, where a work placement of any kind is unavailable, the Training Supplier must build into the participant's PTP, the activities and outcomes that will be provided in-house, that will develop those skills and attributes which would otherwise have been gained in a work placement. This in-house "placement" must also contain an element of directed jobsearch activity.

For all participants on work experience, in whichever component, Suppliers must agree hours of attendance with the participant and the employer. Participants must

not be required to attend for any periods that would normally attract overtime or premium payments for an employee, nor should a participant be required to attend on weekends, Bank Holidays, evenings or unusual hours.

#### **4.6 INDUSTRIAL INJURIES BENEFITS**

A participant who suffers personal injury or contracts an industrial disease as a result of training is not eligible to receive benefit under the Social Security Contributions and Benefits (Northern Ireland) Act 1992. The Department may, however, make a payment equal to the benefits available under the Act. Any claims arising under this procedure should be referred to the SSA and copied to Supplier Services Branch.

#### **4.7 SICKNESS**

- (i) The Supplier must inform the participant of procedures for notification and certification of absences due to sickness during induction training.
- (ii) A participant must report the reason for absence to the Supplier, on the first morning of illness, indicating the expected duration of the absence.
- (iii) A doctor's certificate is required if the absence is for more than 7 consecutive days, including holidays and weekends. Shorter absences must be covered by a Self-Certification form. Providing these procedures have been followed, a participant may be paid EMA for a total of 15 working days of sickness absence in any year of training. EMA must not be paid for any sick leave after 15 days in any year. The Supplier should consider the effect of excessive absences on the training objective. Where excessive absences threaten the training provision, the Supplier may wish to invoke disciplinary procedures.
- (iv) Where a participant has been continuously absent for three weeks, the participant must be withdrawn from *Training for Success*. However, where a participant has been continuously absent for three weeks, a fourth week may be approved and EMA paid, provided it is clear that the participant will return to training the following week. Should the participant not return, the participant must be withdrawn from *Training for Success*. Where participation has ended in these circumstances, the Termination Code "Sickness" must be entered into TMS.

- (v) In circumstances where a participant has been withdrawn from training because of extended sickness, the young person must be given the opportunity to return to training when they have recovered. The Supplier must complete [TfS 15](#) and forward to the mailbox of their local Careers Office, prior to re-entry, in order for a Training Credit to be issued for the balance of time, even if over 18 years of age (i.e. the period from the participant's start date, less the period for which the participant has received payment of EMA prior to withdrawal). The Start Code in these circumstances for CMS is "Rejoining".

For example; an additional needs participant who completed 39 weeks of training before going absent as a result of sickness and received EMA for the first three weeks of sickness will, upon re-entry, be entitled to 10 weeks of training [i.e. 52 weeks less 42 (39 weeks + 3 weeks)].

- (vi) The administrative arrangements for notifying the Department of starts and leavers will apply.
- (vii) In reviewing a participant's sickness record, account must be taken of any sick leave taken with a previous Supplier.
- (viii) Suspected abuse of self-certification arrangements must be investigated and, if necessary, the disciplinary procedures may be invoked.
- (ix) Absences due to a pregnancy-related illness, or illness related to a participant's disability evidenced by the participant's GP, must be disregarded when aggregating a participant's sick record. However, such a participant should be withdrawn from training at the end of six weeks continuous absence. It is considered that absence beyond that period, by reducing further the balance of training due, would affect the participant's ability to complete the relevant component within *Training for Success*. [Prior to re-entry, the young person must be referred to the Careers Adviser, to be issued with a Training Credit for the balance of the participant's time (if the participant reaches age 18 prior to re-entry they can re-enter *Training for Success* to receive the balance of training) on the relevant component within *Training for Success*].

#### 4.8 ITEMS TO BE ISSUED TO PARTICIPANTS

Suppliers must provide all necessary equipment to participants for the provision of training, free of charge.

#### 4.9 HOLIDAYS

- (i) A participant is entitled to 25 days' paid holiday during a year of training, calculated on the basis of two days' holiday for each month in *Training for Success*. In addition to holiday allowance, a participant is entitled to 12 days' Bank and Public Holidays. Holiday arrangements must be agreed in advance, in accordance with the needs of the training provision and the normal practice of the Supplier.
- (ii) A participant may, at the discretion of the Supplier, be paid EMA in advance of a holiday period, provided that:
  - the participant enters before the start of a holiday period; and
  - the participant intends to return to training at the end of a holiday period.
- (iii) Payment of EMA prior to a holiday period is limited by the following conditions:
  - two days' pay for each full month spent in any *Training for Success* component prior to the day the holiday begins;
  - the period to be covered by the payment must not exceed the maximum number of days for which holiday pay may be made, which in any one year is 25, and any holidays for which payment has already been made should be taken into consideration.
- (iv) Where a participant, prior to a holiday period brought about by the closure of the Supplier, has not earned sufficient leave to cover the full period of closure, the participant will be entitled to expect not more than 10 days' paid leave (subject to paragraph (ii) above). Where the Supplier is closed for a period that exceeds the participant's earned leave plus the anticipated leave, no further payment of EMA should be made.

No action should be taken to recover advance payments in the event of a participant failing to report after a holiday period, or where a participant leaves



*Training for Success* before earning sufficient days to cover the payment. However, should the participant subsequently return to *Training for Success*, either with the original Supplier or with a new Supplier, no further payments must be made in respect of holiday pay until the participant has served sufficient time in *Training for Success* to cover the original advance. Advance holiday pay for which there is not an underlying entitlement may only be paid once.

- (v) A participant who wishes to take holidays which do not coincide with a Supplier's own holiday closure arrangements must seek approval from the Supplier. Any such periods must be unpaid, unless the participant has an underlying entitlement to accrued EMA in respect of holidays. Where such periods are unpaid and it is known from the outset that the absence will exceed five working days, payment of the weekly training fee will cease from the last day of training. Where some accrued EMA may be due, payment will cease from the last day of paid absence. Suppliers must confirm from the outset, the duration of any such absence.
  
- (vi) A participant who leaves *Training for Success* before taking all accrued leave is not entitled to pay in lieu.

The above instructions do not apply to Bank or Public Holidays. Each participant is entitled to 12 days' paid Bank and Public Holidays and these should be paid irrespective of when they arise.

#### **4.10 DISCIPLINARY PROCEDURES**

- (i) The Supplier must ensure that each participant has access to clear written procedures on grievance and disciplinary matters, and is informed of those procedures at the start of training. In disciplinary matters, a participant must not be treated any less favourably than an employee of the Supplier. Short-term suspension without EMA may be invoked as part of the disciplinary procedure, when the procedure has reached the first written warning stage. It must be used only in exceptional circumstances. Suspension without EMA must not last for more than two days.
  
- (ii) A participant may be accompanied by a parent/guardian, fellow participant, or Trade Union representative during disciplinary interviews.

- (iii) Less serious disciplinary offences (absenteeism, lateness etc.) must be dealt with by a verbal warning for a first offence, followed by a written warning, a final written warning and ultimately dismissal from training.
- (iv) Cases of frequent unauthorised and casual sick absences must be treated as follows:
- A participant who accumulates 10 days unauthorised and/or casual sick absences (in any combination) during three consecutive claim periods must receive a written warning advising that the level of absence is causing concern and, if continued, will lead to a suspension from training.
  - A participant who accumulates 15 days unauthorised and/or casual sick absences during three consecutive claim periods must be suspended from training for a period of eight weeks. Unauthorised or casual sick absences incurred prior to the period of suspension must be disregarded when a young person returns to training.
  - A participant who subsequently accumulates 10 days unauthorised and/or casual sick absence, in the 12 months from the date of return to the Provision following suspension for persistent absence (as detailed above), must be dismissed from training and will not be permitted to re-enter.
  - Where periods of unauthorised or casual sick absence below the level of 15 days in any three consecutive periods are persistently incurred, the Supplier must take appropriate disciplinary action.
- (v) In the case of serious misconduct, a participant must be given a verbal warning, first written warning, followed by a final written warning for a second offence, and then dismissal. If the offence is deemed to be gross misconduct, dismissal action may be taken immediately.
- (vi) A participant may only be dismissed by the Supplier for serious misconduct following discussion and agreement with Training Programmes Branch. A

participant must be advised immediately of dismissal in writing. The SSA must be advised immediately of a participant who is receiving Income Support who is dismissed from training.

- (vii) A participant who is dismissed from training in cases other than gross misconduct will not be permitted to re-enter *Training for Success* until a period of eight weeks has elapsed since the last day of training. If a young person wishes (and is eligible) to rejoin *Training for Success* on expiry of the eight-week period, an agreement to observe the Code of Conduct and attendance stipulated by the Supplier must be signed by the young person.
- (viii) A participant will have a final right of appeal against dismissal to the Head of Training Programmes Branch. The written appeal must be received in Training Programmes Branch within 21 days of issue of dismissal letter. On receipt of the written appeal, Training Programmes Branch will arrange within 10 working days, a three-person panel of independent Careers Advisers/Managers and a TPB Officer. This panel will meet with the participant and their representatives in a neutral venue.
- (ix) It is essential that a written record of all verbal and written warnings is retained in the participant's personal record. A participant must countersign the record of warnings. Specimen letters are provided in [Annex 11](#). (A participant will only be allowed to have a total of three separate incidents of serious misconduct and, should a further case arise, they will not be permitted to re-enter *Training for Success*).
- (x) A participant's expected completion date will not be extended by any absences resulting from the disciplinary process. In the case of successful appeal, the participant will receive the balance of weeks on training which will include weeks for which they were suspended.
- (xi) Following re-entry, if a participant is again properly dismissed by a Supplier for reasons other than gross misconduct, the participant will not be permitted to re-enter *Training for Success* until a further period of eight weeks has elapsed. A participant re-entering *Training for Success* in such circumstances is subject to the normal rules of entry.

- (xii) A participant who is dismissed from training on the grounds of gross misconduct will not be permitted to re-enter *Training for Success* until a period of 13 weeks has elapsed since the last day of training. If a participant wishes (and is eligible) to rejoin *Training for Success* on expiry of the 13-week period, an agreement to observe the Code of Conduct and attendance stipulated by the Supplier must be signed by the participant. A participant will only be allowed a total of two separate incidents of gross misconduct and, should a further case arise, they will not be permitted to re-enter *Training for Success*. All cases of gross misconduct must be submitted in writing, outlining the nature of the offence to Training Programmes Branch for approval to be allowed to re-enter *Training for Success*.
- (xiii) Suppliers must be careful that a participant recruited by them is not currently subject to a period of suspension from training due to dismissal by a previous Supplier.
- (xiv) *Jobskills* trainees who have been dismissed on the grounds of gross misconduct may not rejoin *Jobskills*. They may, however (if eligible), join *Training for Success* on expiry of a 13-week period from the date of dismissal from *Jobskills*.

#### **4.11 TRADE UNION MEMBERSHIP**

A participant who wishes may join a Trade Union. This is a matter for each individual to decide. Any participant who is a member of a Trade Union must be permitted to be represented by that Trade Union in a range of matters, including those dealt with under the individual Supplier's disciplinary procedures.

Arrangements to afford any Trade Union the opportunity to make representations on behalf of a participant, are matters to be settled between the Supplier, the participant, and the Trade Union concerned, but must be consistent with good industrial relations practice. A participant who joins a Trade Union must be treated in the same manner as all other members of that Union (e.g. given time off to attend legitimate Union meetings).

#### **4.12 TRANSFER OF PARTICIPANTS**

Where a participant is transferred to another Supplier approved to deliver *Training for Success*, the former Supplier must transfer all records relating to that participant to the new Supplier, within one week of the participant leaving the initial Supplier.

Where a participant requires further careers information, advice, or guidance in relation to their options, the Supplier must refer the participant to the Careers Service.

#### **4.13 PARTICIPANTS LEAVING PREMATURELY**

Suppliers must inform the Careers Service as soon as it is known that the participant is leaving, or has left *Training for Success* with no job or further training in prospect.

#### **4.14 EXTENSIONS TO TRAINING PERIOD**

Where a participant is nearing the end of the required training period, and it is evident that he/she will not complete all elements of training as agreed in the PTP, then Suppliers may request an extension. Where this is the case, the Supplier must write to Training Programmes Branch (within 4 weeks of the participant's completion date) to request a time extension, setting out the reasons why the extension is required, as well as the elements of the PTP which remain uncompleted. The request must clearly state the participant's name and client identification number. Training Programmes Branch will consider each application and respond to the Supplier, informing them of the decision. The Department may request External Verification for the need for an extension. The costs of any External Verification shall be met by the Training Supplier.

# **SECTION**

# **5**

## **ELIGIBILITY AND RECRUITMENT**

## **5.0 ELIGIBILITY AND RECRUITMENT**

### **5.1 GUARANTEE GROUP**

The Department will provide a guarantee of a training place to those in the 16 and 17 year old age group who wish to enter or re-enter *Training for Success*.

A 17 year old who reaches age 18 on or after 1st July and before the second Monday in September, will be treated as a young person within the guarantee group and be able to enter *Training for Success*, provided that the young person starts training during the week commencing the first Monday of September.

### **5.2 ELIGIBILITY**

A person eligible to enter *Training for Success* will be as follows:

- (i) one who has attained the minimum school leaving age;
- (ii) one who is under 18 years of age and is unemployed;
- (iii) one who has a disability, is under 22 years of age and is unemployed. Suppliers proposing to recruit a young person with a disability must be able to provide the resources and support necessary to meet the young person's needs; or
- (iv) one who is in the category of "young people who qualify under the Children (Leaving Care) Act (NI) (2002), is under 24 years of age, and is unemployed.

#### **5.2.1 Personal Development/ Skills for Your Life**

- (i) Those who have attained the minimum school leaving age, are under 18 years of age and are unemployed OR have a disability (up to the day before their 22<sup>nd</sup> birthday for those with a disability);
- (ii) one who is in the category of young people who qualify under the Children (Leaving Care) Act (NI) (2002), is under 24 years of age and is unemployed; and
- (iii) have additional needs and have learning disabilities due to either:
  - Physical Disability/Special Educational Needs (including the Transitions group); or
  - Emotional, Behavioural or Social Difficulties (including the "Not in Education, Employment or Training" (NEET) group).

### 5.2.2 Skills for Work

- (i) Those who have attained the minimum school leaving age, are under 18 years of age and are unemployed OR have a disability (up to the day before their 22<sup>nd</sup> birthday for those with a disability);
- (ii) one who is in the category of young people who qualify under the Children (Leaving Care) Act (NI) (2002), is under 24 years of age and is unemployed; and
- (iii) those who have been assessed as not yet capable of achieving Pre-Apprenticeship due to, for example, a low academic standard, having specific learning disabilities or barriers such as disrupted home life, drug/alcohol, abuse/misuse.

### 5.2.3 Pre-Apprenticeship

- (i) Those who have attained the minimum school leaving age, are under 18 years of age and are unemployed OR have a disability (up to the day before their 22<sup>nd</sup> birthday for those with a disability);
- (ii) one who is in the category of young people who qualify under the Children (Leaving Care) Act (NI) (2002), is under 24 years of age and is unemployed; and
- (iii) who have been assessed as being capable of achieving a Level 2/Level 3 Apprenticeship qualification but who have not secured remunerative employment. Where a participant has completed the Pre-Apprenticeship component and has not secured employment for Level 2/3 Apprenticeship, Training Programmes Branch will approve a second Pre-Apprenticeship in a different occupational area, provided the young person is still aged 17 before the second period of provision begins, or has already completed the first Pre-Apprenticeship provision and will reach age 18 before the second Monday in September. A reduced start payment of £200 will be paid to Suppliers on presentation of the second PTP.

## 5.3 RECRUITMENT OF SCHOOL LEAVERS/FURTHER EDUCATION LEAVERS

A 16 year old who is entitled to leave school after the statutory leaving date of 30th June, and a 17 year old who leaves school/FE College during the month of June, will not be permitted to enter *Training for Success* until the first Monday in the following September. However, a School Leaver/Further Education Leaver who is 17 years old



and who leaves before 1st June can be admitted to *Training for Success* provision at any time after leaving school.

## **5.4 INELIGIBLE PERSONS**

5.4.1 The following are not eligible to enter *Training for Success*:

- (i) a person in full-time education;
- (ii) a young person under the Northern Ireland minimum school leaving age. Any pupil whose 16<sup>th</sup> birthday falls between 1st September in one year and 1st July in the following year (inclusive) may leave school on 30th June at the end of that academic year. Any pupil whose 16<sup>th</sup> birthday falls between 2nd July and 31st August in the same year (inclusive) must remain at school until 30th June of the following year;
- (iii) sandwich course students;
- (iv) a non-EU national who is subject to employment restrictions and/or a time limit on the person's stay in Northern Ireland at the time of application to enter training. This information can be obtained by checking the Client's passport; and
- (v) a person who is employed at the time of application to enter *Training for Success*, with the exception of a school leaver who was in Summer employment.

### **5.4.2 Eligibility in doubt**

If, at any time, the Department considers there is a reason to doubt the eligibility of a young person to participate in *Training for Success*, the Department shall have the right to suspend all funding in respect of the young person concerned, pending investigation. In these cases, a Supplier must immediately, and until further notice from the Department, suspend that individual from participation in the provision. If, following investigation, it is discovered the participant is eligible, then the Department will back-date all appropriate funding, including EMA.

## **5.5 PARTICIPANTS FROM OTHER EUROPEAN UNION STATES**

EMA can be paid to *Training for Success* participants who satisfy the following criteria:

- a person who is 'settled' in the UK, and been ordinarily resident in the UK for at least the three years prior to the start of his/her training; or
- a national of any European Union (EU) country or the spouse or civil partner or child of an EU national, and been ordinarily resident in the European Economic Area (EEA) for at least three years prior to his/her start on *Training for Success* provision; or

- an EEA migrant worker or the spouse or civil partner or child of an EEA migrant worker, who is ordinarily resident in the UK at the start of training and has been ordinarily resident in the EEA throughout the three year period prior to that; or
- is recognised as a refugee by the UK Government, or the spouse or civil partner or child of a refugee, has been granted Humanitarian Protection, or has EU Temporary Protection; or
- a person who has indefinite leave to enter or indefinite leave to remain.

For those participants who reside in the Republic of Ireland and who wish to travel daily to Northern Ireland to participate in a *Training for Success* component, EMA will also be payable, subject to them meeting *Training for Success* eligibility conditions.

## **5.6 PLACEMENTS OUTSIDE NORTHERN IRELAND**

A *Training for Success* participant from within Northern Ireland can only be placed with an employer in the Republic of Ireland, where an appropriate work experience placement is not available in Northern Ireland. The approval of Training Programmes Branch must be obtained before placing a participant in work experience placement in the Republic of Ireland.

## **5.7 PRE-ENTRY GUIDANCE**

Prior to entering *Training for Success* provision, each young person, if required, will receive a pre-entry guidance interview from the Careers Adviser. See [Section 6](#) for further information.

## **5.8 CLIENT SELF-REFERRAL**

There will no longer be Training Credits issued by the Careers Service for participants under *Training for Success*. Instead, participants will either self-direct to Suppliers using the Department's website or other information services, or following discussions with their Careers Advisor.

Following a participant's presentation at a Supplier, information regarding the start date must be entered onto TMS on the day of start, or as soon as possible thereafter (i.e. only when the individual has actually commenced provision participation).

## **5.9 TRANSFERS FROM APPRENTICESHIPSNI**

When an Apprenticeship Level 2/Level 3 Supplier identifies development needs requiring *Training for Success* support in respect of a participant in the Level 2/Level 3 Apprenticeship component, full training entitlement will be available within *Training for Success*, provided the participant meets all eligibility criteria.

## **5.10 TRANSFERS FROM JOBSKILLS**

All existing *Jobskills* trainees and those recruited up to 2<sup>nd</sup> September 2007 will continue within the *Jobskills* Programme and progress from Access to Traineeship to Modern Apprenticeship component in the usual manner, as their achievements allow. Transfers to *Training for Success* will be considered on an individual basis e.g.

- if there is a break in training of over 26 weeks; or
- if the Training Organisation ceases to provide the training and no other suitable *Jobskills* Training Organisation is available within a reasonable travel distance or that other reasonable barriers to relocation exist; or
- if the participant wishes to opt for *Training for Success*, and the Supplier has been awarded a contract to deliver this provision.

Applications to transfer from *Jobskills* to *Training for Success* for any reason must be made in writing to Training Programmes Branch giving full details of the circumstances. Where an application to transfer from *Jobskills* to *Training for Success* is approved, the *Jobskills* Training Organisation must provide a full finishing report to the new *Training for Success* Supplier, which has been externally verified, detailing the trainee's progress and achievements within *Jobskills*.

When completing the PTP, the new supplier must fully consider the participant's progress/achievements on *Jobskills* and ensure that these are fully documented within the PTP and that milestones are set accordingly.

## **5.11 CHANGE OF OCCUPATIONAL AREA**

### **5.11.1 Change of Occupational Area**

It should be noted that a change of occupational area within *Training for Success* does not require a resubmission, except in Pre-Apprenticeship, as participants in all other components will have a generic NDAQ code. The PTP will provide a facility to record changes in occupational area; e.g. for those in Pre-Apprenticeship where, because of a change in occupational area, an increase or decrease of weeks on programme is required (e.g. 52 to a maximum of 78 weeks or vice versa). This will be accommodated within TMS.

## **5.12 PROGRESSION WITHIN TRAINING FOR SUCCESS**

5.12.1 Suppliers must aim to meet individual needs and progress participants as quickly as possible.

- (i) To progress within *Training for Success* components, the participant must have:
- attained all milestones set out in the PTP;
  - had all identified barriers successfully addressed;
  - agreement from a Careers Adviser as to which component of *Training for Success* best suits their needs;
  - for those entering Skills for Work, must have attained or been assessed as being capable of achieving, a minimum of Entry Level 1 Essential Skills in both Literacy and Numeracy and ICT where it has been followed; and
  - for those entering Pre-Apprenticeship, must have attained or been assessed as being capable of achieving, a minimum of Entry Level 2 Essential Skills in both Literacy and Numeracy and ICT where it has been followed, as well as a Level 2 Technical Certificate.
- (ii) To progress from *Training for Success* to Level 2/Level 3 Apprenticeship the participant must satisfy the eligibility criteria for Level 2/Level 3 Apprenticeship (see [Annex 12](#)).
- (iii) Participants who began *Training for Success* during 2007/08 (under the former JobReady provision) and are now progressing into the next component (i.e. from Personal Development to Skills for Work) must progress onto the new component, as set out under the revised arrangements in these guidelines.

5.12.2 Under the Pre-Apprenticeship component, where a participant has been registered on to, for example, a 52 week provision, but will not complete all elements set out in the PTP by the end of 52 weeks, then the Supplier may apply to the Department for an extension, to allow the participant to complete. Any such application must be forwarded in writing to Training Programmes Branch, and must clearly set out the reasons why the participant has not yet completed (see [paragraph 4.14](#)). This applies to Pre-Apprenticeship participants who began provision before 1st September 2008, as well as to those who began provision thereafter.

5.12.3 For a Pre-Apprenticeship participant who was enrolled in Pre-Apprenticeship provision prior to September 2008 in an occupational area that has subsequently been deemed a maximum of 78 weeks provision by the relevant Sector Skills Council, then a Supplier can simply continue to provide training for that participant

until all elements of the PTP have been completed, up to a total maximum of 78 weeks. The funding for this will continue at the same rate (i.e. the rate before 1st September 2008).

5.12.4 Where a Pre-Apprenticeship participant has completed the provision (and all elements of the PTP), and has not yet found employment but is still under the age of 18, then the participant has three options:

- apply for an extension of six weeks to revisit the employability skills element of the same occupational area in order to enhance the likelihood of employment. Where this is the case, the Supplier must apply in writing to Training Programmes Branch, setting out the reasons why this option has been selected; or
- begin a new Pre-Apprenticeship in a different occupational area [see [paragraph 5.2.3 \(iii\)](#)]; or
- voluntarily leave the provision.

Careers Advisors will be available to provide additional advice and guidance, if required by the participant.

### **5.13 RECRUITMENT ACTIVITIES**

Suppliers must conduct their recruitment activities in a manner that is not prejudicial to the interests of individual young persons. Suppliers must ensure that any advertising/promotional material clearly reflects the purpose and aims of the training provided and that any offer of incentives to a potential young person does not detract from, or take preference over, this message.

# **SECTION 6**

**CAREERS SERVICE INPUT TO  
*TRAINING FOR SUCCESS***

## **6.0 CAREERS SERVICE INPUT TO *TRAINING FOR SUCCESS***

### **6.1 INTRODUCTION**

The Department for Employment and Learning's Careers Service is an all age guidance service that provides impartial careers guidance to people in education, training, employment, and to the unemployed. This is delivered through a network of Careers Advisers who are based in JobCentres, Jobs and Benefit Offices, and Careers Offices throughout the Province.

Careers programmes of Information, Advice and Guidance (IAG) are offered through Partnership Agreements with each School, FE College and Supplier. The Partnership Agreement sets out the Department's contribution to the careers programme.

Careers guidance is a developmental process through which young people are supported at key decision stages (13+, 16+, and 18+) and during the transition from school to education, training or employment.

Within *Training for Success* the role of the Careers Service is to provide:

- Pre-entry guidance within education; and
- Careers IAG that is appropriate to each participant's Career Guidance needs throughout their training period.

### **6.2 CAREERS ADVISER RESPONSIBILITIES FOR YOUNG PEOPLE CONSIDERING *TRAINING FOR SUCCESS***

#### **Careers Information, Advice, and Guidance within Education**

The Careers Adviser will contribute to the schools Careers Education and Guidance programme, through the provision of the following Careers Guidance Interventions:

- Getting Connected
- Careers Guidance Interview
- Subsequent Guidance Interview
- Group Work
- Class Talks
- Attendance at Parent Teacher Meetings
- Transition Planning Meetings/Annual Reviews
- Psychometric Assessment

The Careers Adviser should request access to the following information, to assist in their assessment of an individual's suitability for training:

- Statement of Special Educational Need
- Information from Transitional Plan Meetings
- Information on Literacy/Numeracy difficulties
- Other Information from the School – Academic potential/behaviour indicators i.e. attendance etc

In addition to the above careers guidance interventions, pre-entry Careers IAG will be provided appropriate to the young person's needs.

### **Careers Information, Advice, and Guidance with the Unemployed**

Careers IAG will be provided, appropriate to the participants' needs.

### **Careers Information, Advice, and Guidance within *Training for Success***

Careers Advisers will agree and review a Partnership Agreement (PA) with all *Training for Success* Suppliers. The PA will contain details of the Supplier's Careers Education programme as specified in the Supplier's contract. The PA will also provide details of referral arrangements between the Supplier and the Careers Service. The Supplier and the Careers Adviser will review the effectiveness of the PA on an ongoing basis and, if problems arise, the Careers Manager must be notified and appropriate action taken.

### **Careers Guidance Intervention in *Training for Success***

During the initial 12 week assessment/employability skills period, Careers Advisors will arrange Group Guidance sessions for all new starts within *Training for Success*. The purpose of this intervention is to determine the appropriateness of the training in meeting the participant's career goal. The following points provide a structure for Careers Advisors to deliver this work:





- second or third generation unemployed;
- low level of motivation;
- history of trouble and conflict with authority;
- possible involvement in illegal, paramilitary or anti-social activities;
- poorly developed or unrealistic career goals;
- health related problems;
- alcohol, solvent or drug related abuse or dependencies;
- inability to relate to peers;
- homelessness;
- parenting;
- pregnancy;
- the responsibility of caring for other family members; and
- other psychological/physiological problems requiring help and support.

This list of barriers is by no means comprehensive and other issues may occur for this group of young people.

### 6.3.2 Entry Guidance for Participants

Potential participants for *Training for Success* may be categorised in three ways:

- Those who have **high readiness** for career decision making and who are in a position to self-refer to a Supplier of their choice. Careers Advisors will direct potential participants to local Suppliers of interest or direct them to [www.trainingforsuccess.info](http://www.trainingforsuccess.info); or
- Those who have **moderate readiness** for career decision making, may require brief assistance in determining their career choice and preparing a plan of action. Careers Advisors will provide an appropriate intervention; or
- Those who have **low readiness** for career decision making, will require more in-depth assistance to determine their career choice. Careers guidance counselling will be a significant part of the intervention and will be provided by Careers Advisors to these potential participants.

### 6.4 APPROVALS OF FUNDING FOR PARTICIPANTS WITH A DISABILITY/SPECIAL NEED

Careers staff must ensure that all information pertaining to a client's disability/special need is input into the "Details" section of CMS. This will aid the approval of funding to Suppliers for those participants requiring this funding support.

If this information is not available on CMS, *Training for Success* Suppliers will submit requests for approval of funding for participants with a disability/special need via TMS/CMS. Careers staff will approve these requests in consultation with the appropriate Careers Adviser. Careers Advisers must ensure that the participant meets the criteria at paragraph [2.10.4](#).

## **6.5 REJOINERS TO *TRAINING FOR SUCCESS***

A “Rejoiner” is anyone who has previously participated in training and for whom a termination code has been entered.

Rejoiners to Training for Success will require a Training Credit in order to re-register in training. Suppliers must complete form [TfS 15](#) and forward to the mailbox of their local Careers office at the earliest opportunity. A Training Credit will be issued for the balance of training time, and returned to the Supplier.

## **6.6 CONFIDENTIALITY IN THE ASSESSMENT PROCESS**

Confidentiality and understanding are particularly important issues when dealing with special needs. Access to, and the transfer of, sensitive information needs to be handled carefully. It is not necessarily important for the Supplier to know the cause of the special need, in order to be able to address the training need.

Important points for consideration:

- all parties involved in the information flow process need to share a common understanding of the use of the information;
- what a given individual needs to know and why;
- information must be factual and objective;
- subjective information, opinions, or perceptions must not be used;
- information must be accurate and current, information which may be out of date can mislead;
- when identifying behavioural or emotional problems it is essential that only the symptoms or specific behaviours exhibited are stated and **not** the cause of the problems;
- consider what information it is appropriate to release and the consequences of releasing specific information. It may affect attitudes;
- local arrangements for the flow of information should be flexible; however, the same basic principles must apply.

## **6.7 LIAISON**

It is important that there is close liaison between the Careers Adviser and the Supplier, to ensure that participants are progressing towards their chosen training objectives and Essential Skills, where appropriate. Where a Careers Adviser has concerns about the quality of training provision, they are required to bring this information to the attention of their Careers Manager for referral to Quality and Performance Branch.

## **6.8 ACCOMMODATION**

Careers Advisers should seek the co-operation of Suppliers in gaining access to the young person at all times. Suppliers **must** ensure that suitable accommodation is provided to ensure the confidentiality of the interview and compliance with child protection legislation.

# **SECTION 7**

## **ADMINISTRATION PROCEDURES**

## 7.0 ADMINISTRATION PROCEDURES

### 7.1 INFORMATION SYSTEMS

The Department, in conjunction with Fujitsu Services, has developed a software package Trainee Management System (TMS) to assist Suppliers in the administration arrangements for *Training for Success*. It is linked to the Department's central Client Management System (CMS) database and will cater for an automated Client Registration process, with Suppliers being linked electronically to CMS. TMS will have an automated process for payment approval requests which, when actioned, will be rolled up into the Supplier's claims.

### 7.2 START NOTIFICATION

Start processes under CMS are automated. On the Monday of each week, JobCentres/Jobs and Benefits Offices/Careers Offices must produce a 'Starts Report' via the 'Non Immediate Printing' facility. The purpose of the 'Starts Report' is to facilitate the administrative arrangements associated with those who start *Training for Success*.

### 7.3 EQUAL OPPORTUNITIES (see also [1.21](#))

To facilitate the monitoring of Department's Equality Policy, the Department is committed to delivering its services and provisions in a way which aims to ensure that they are open to all, irrespective of community background, gender, marital status, disability or race, age and dependency status. An essential aspect of the Department's Equality Policy is the monitoring of applicants and participants in the various Department provisions.

Information relevant to Equal Opportunities will be downloaded from CMS to TMS at the point of confirmed registration of a young person on *Training for Success*. Although Equal Opportunities data in relation to community background is not viewable on an individual client record in TMS, reports relevant to community background, gender, marital status, disability or race can be run in TMS to facilitate Equal Opportunities monitoring. **It is important therefore that equality monitoring data is as accurate as possible in CMS.** It should be noted that marital status is a mandatory field in CMS, therefore, this data will also be downloaded at the point of confirmed registration of a participant on *Training for Success*.

## **Health Conditions and Disability**

In relation to Equal Opportunities monitoring within *Training for Success*, some of the processes are automated. When a young person enters components of *Training for Success*, the Disability or Special Need indicators in TMS may be already set by the Careers Adviser (e.g. Personal Development/Skills for Work components). **The Supplier will require approval for Disability premium category funding.** This is facilitated by seeking Disability premium approval via TMS and by the subsequent approval processes between TMS and CMS. Once approved in CMS by the Careers Service, a record is held against the client details on CMS as to when the approval was made and by whom. TMS will also be updated with the appropriate approval.

A list of Disability/Special Needs codes is available at [Annex 16](#).

## **7.4 NOTIFICATION OF LEAVERS**

Leaving processes under CMS are automated and information is transmitted from TMS to update CMS.

**Suppliers must ensure all avenues are explored to determine the destination of leavers before using the “Destination Not Known” code.**

On the Monday of each week JobCentres/Jobs and Benefits Offices/Careers Offices must produce a ‘Leaver’s Report’ via the ‘Non Immediate Printing’ facility. The purpose of the ‘Leaver’s Report’ is to facilitate the administrative arrangements associated with those who terminate from *Training for Success*.

## **7.5 TRAINING FOR SUCCESS CLAIMS**

*Training for Success* claims must be submitted as per the claim calendar, (see [Annex 5](#)) from TMS to CMS to be received **no later than 10 working days after the end of each claim period**. A signed copy of the Claim Form Report must be sent to Supplier Services Branch as soon as the claim has been generated in TMS and the completed claim has been transmitted to CMS. **The claim will not be regarded as being received in Supplier Services Branch until both the electronic copy and signed hard copy have been received.**

**Prior to submitting a claim, Suppliers must ensure that they carry out the pre- and post-claim checks contained in the document “Claims Checking Procedures for Trainee Management System Claims’, issued as an attachment to TMS Memo 07/08.**

Suppliers must retain all supporting claims documentation for inspection by the Department. Failure to provide satisfactory documentary evidence of eligible additional costs may result in reimbursement being disallowed and/or recovery of payments already made

## **7.6 BANK DETAILS AND AUTHORISED SIGNATORIES**

Suppliers must notify Supplier Services Branch as soon as possible via Form [TfS 6](#) of details of the Bank Account to which payments are to be made and the names of those authorised to sign *Training for Success* forms on behalf of the Supplier.

Any subsequent changes to these details must be notified **immediately** to Supplier Services Branch via a newly completed Form [TfS 6](#) before submission of a claim. Payment of the Supplier claim will only be made if the Claim Form Report is signed by an authorised signatory.

## **7.7 EMA AND ATTENDANCE RECORD**

The EMA in respect of a *Training for Success* participant is based on the daily attendance rate less deductions. Unauthorised absence and lateness are deducted automatically by TMS, based on confirmed attendance details input by the Supplier to TMS. Unauthorised absence may be deducted for both half and full days.

Suppliers **must** ensure that detailed weekly attendance records are maintained for each participant. Suppliers must ensure that written attendance records are completed for the 4-weekly claim within the specified time limit (i.e. within 4 weeks of the period to which they relate). In addition, Suppliers must retain copies of attendance records for inspection purposes.

In an exceptional case where the Department agrees with a Supplier that a participant cannot adhere to attendance requirements due to their personal circumstances, the Supplier must submit a request for “Reduced Attendance” to the Careers Adviser. On entering the times of reduced attendance, the Supplier will be prompted to enter details regarding the request. Suppliers must use the following headings: “Reason/Evidence” and “Timescale for reduction in hours”. This request will be automatically generated, once the reduced hours are entered into the TMS attendance facility.



## 7.8 PARTICIPANT TRAVELLING EXPENSES

Where a participant incurs weekly travel costs of over £3, refund of the excess must be made to the participant by the Supplier. Suppliers must make each participant aware of the amount which the participant is entitled to claim.

The Department will make a contribution towards the cost of travel in respect of each participant, whether or not they incur expenses. The contribution payable will be based on the address of the Supplier's site with regard to the Contract Management Area in which they are based, and Suppliers must include travel allowances in the claim to which the period of travel relates. Details of the amounts payable at the standard rate are provided at [Annex 9](#). The Supplier must enter the appropriate travel rate under the "Expenses" tab in TMS for each participant.

When public or private transport is deemed unsuitable for a participant with a disability, the cost of a taxi minus the first £3 will be reimbursed by the Department. Prior approval for taxi costs in excess of £50 per week **must always** be obtained from Training Programmes Branch. Where taxi costs exceeds £50 per week, written approval must be sought from Training Programmes Branch within **4 weeks** of the participant commencing *Training for Success*. Form [Tfs 13](#) **must** be submitted to Training Programmes Branch and written approval granted before any claims are made via TMS.

In exceptional cases, it may be necessary for a participant to travel by taxi because public or private transport is not available. In these circumstances, taxis must be limited to/from the participant's home to the nearest public transport point. Approval procedures as outlined in the paragraph above apply. Three written quotations from properly insured and registered taxi firms must be obtained and suppliers should only approve the cheapest quotations, and submit these to Training Programmes Branch when seeking approval for costs in excess of £50 per week. Suppliers must ensure that quotations and receipts are retained and kept for audit purposes.

**Suppliers must ensure that payments for taxis are made directly to the taxi company and not the participant. The taxi company must provide the Suppliers with invoices. Suppliers must also retain copies of authorised expenditure records for inspection purposes.**

Payment of travelling expenses will automatically cease where relevant data is entered in to TMS in respect of:

- completion of training; or
- progression from *Training for Success* to a Level 2/Level 3 Apprenticeship.

### **7.9 LODGING ALLOWANCE CLAIM**

In certain circumstances, a non-employed trainee may be eligible for Lodging Allowance. Where this is the case, Form [TfS 16](#) must be completed and forwarded to TPB.

### **7.10 APPLICATION FOR CHILDCARE PAYMENTS**

Suppliers must issue an application for Childcare Payments (Form [TfS 4](#)) to a *Training for Success* participant who may be eligible for financial assistance towards the cost of childcare. Suppliers must seek prior approval from Training Programmes Branch for childcare costs:

- in excess of £50 per child per week including VAT; and
- in respect of a child in receipt of Disability Living Allowance or who is registered blind and for whom care is essential.

Sections A, B, C and D of the form should be completed by the participant, the childminder, the local Social Security Office/Jobs and Benefits Office and the Supplier respectively and Section E by Training Programmes Branch where the claim exceeds £50 per week.

### **7.11 SPECIALIST SUPPORT PAYMENTS**

The Department will fund up to a maximum of £1,000 towards the provision of Specialist Support where the need has been identified in the participant's approved PTP. Where it is identified that the maximum funding available is not sufficient, written requests for approval of additional support funding **must** be made to TPB by the Supplier.

Each Specialist Support Provider has a contract with the Department to deliver services based on an hourly rate ([Annex 8](#)).

Where a participant's PTP specifies that extra support is required the Supplier will arrange for that support to be provided by the most appropriate Specialist Support Provider.

[Form Tfs 3](#), Part A will be completed by the Supplier providing details of specialist support required. This form will be passed to the Specialist Support Provider who will arrange to deliver the required specialist support. The Specialist Support Provider will invoice the Supplier weekly and include supporting evidence of the participant's progress/attendance and support provided. The Supplier will arrange payment to the Specialist Support Provider within 10 working days of receipt and retain all records for inspection.

Specialist Support is claimable as an expense item via TMS. As such, it will appear as a specific item in the TMS expense item drop down list. Standard TMS third party invoicing procedures apply. The claim, as with all expense items, must be based on approval for a weekly maximum specified amount calculated on the basis of the hourly rate applicable to the support and the number of hours/days in which Specialist Support will be delivered in the week. Should the hours/days increase, a re-application will be applicable.

The amount paid for each participant will be monitored to ensure that payments do not exceed the maximum £1,000.

## **7.12 OUTPUT-RELATED FUNDING (ORF)**

### **7.12.1 ORF for Qualification Outcomes**

Suppliers will receive ORF in accordance with the relevant funding table ([Annex 7](#)) in respect of a *Training for Success* participant who achieves a qualification outcome (i.e. Vocationally Related Qualification, Essential Skills, or a Technical Certificate), as specified in the PTP, subject to the following conditions being satisfied:

- a request for prior approval to claim ORF for a qualification outcome must be submitted to Supplier Services Branch (SSB) via TMS to CMS as soon as possible after the achievement, but **no later than 7 claim periods beyond the claim period in which the participant leaves the *Training for Success* component**. Certified evidence of achievement (i.e. a copy of a Certificate from an Awarding Body must be dispatched to SSB to validate the achievement on the same day as the TMS request for approval is dispatched to CMS. **A request for prior approval to claim is not regarded as being received in SSB until both the electronic version and hard copy evidence of achievement are received.** Staff in SSB will approve these requests on an individual basis, if all payment criteria are satisfied. All approved payments transmitted from TMS to CMS will be made via the next claim.

- If an Essential Skills qualification, then all relevant data **must** have been completed under the 'Course' tab information in TMS regarding the assessed, targeted and achieved levels of Essential Skills. The information regarding assessed and targeted levels **must** have been completed in TMS under the 'Course' tab facility on or before the dispatch of the original PTP to CMS (i.e. **within a maximum of 12 weeks** of the participant's date of commencement on the *Training for Success* component). It is important to note that only relevant Essential Skills data must be entered in these data fields. ORF in respect of Essential Skills will be limited to one payment of £100 per participant in respect of each Essential Skills qualification achieved, provided the level achieved is at least one level above the level at which the participant was assessed.
- **Failure to complete 'Course' field data at the appropriate time will mean that the claim for ORF will be made "valid" (i.e. non-paying and counting for statistical purposes only) by SSB staff.**

#### 7.12.2 ORF for Progression Outcomes

ORF can be claimed in respect of a *Training for Success* participant who completes **13** weeks training and who, **immediately** on leaving a *Training for Success* component, is placed in employment or progresses to Further Education or another component within *Training for Success/ApprenticeshipsNI* provision, which is sustained for a continuous period of at least 13 weeks immediately following the date on which the participant left the provision. In such cases, the Supplier must submit:

- Written confirmation from the employer via use of form [TfS 9](#), or letter-headed paper from the provider of further education, that employment/further education as appropriate has lasted for a minimum period of 13 continuous weeks **immediately** following the date on which the participant left the *Training for Success* component; or
- In the case of self-employment, a letter from a bank or accountant on letter-headed paper confirming that the participant has been in business for a minimum period of 13 weeks **immediately** following the date the participant left *Training for Success*.

In terms of progression to another component within *Training for Success* or *ApprenticeshipsNI*, this may be as follows:

**Personal Development/Skills for Your Life** – participants may progress to Skills for Work, or Pre-Apprenticeship within *Training for Success* provision, or to a Level 2 or Level 3 Apprenticeship within *ApprenticeshipsNI*.

**Skills for Work** – participants may progress to Pre-Apprenticeship within *Training for Success* provision, or to a Level 2 or Level 3 Apprenticeship within *ApprenticeshipsNI*.

**Pre-Apprenticeship** - participants may progress to a Level 2 or Level 3 Apprenticeship within *ApprenticeshipsNI*.

ORF for outcomes in respect of employment or higher level further education, or progression within *Training for Success* or to *ApprenticeshipsNI*, will only be paid once within each component of *Training for Success* in respect of any participant, and **must be claimed within 7 claim periods following the claim period in which the participant left the component.**

Suppliers must request prior approval to claim ORF outcomes in respect of progression to employment/self-employment, further education, or training within *Training for Success* or *ApprenticeshipsNI* provision via TMS to CMS, on the same day as certified evidence is posted to Supplier Services Branch (except for progression to another component within *Training for Success/ApprenticeshipsNI*, where certified evidence of progression is not required). A request for prior approval to claim is not regarded as being received until both the electronic version and the hard copy evidence of progression are received in SSB. Staff in Supplier Services Branch will approve these requests on an individual basis, if all payment criteria are satisfied. All approved payments transmitted from TMS to CMS will be made via the next claim.

### **7.13 PARTICIPANT INCENTIVE BONUS**

A Supplier must pay a participant a bonus of:

- £40 upon completion of each of the first 3 time stages (4 time stages for those following training of up to a maximum of a 78 week period in the Pre-Apprenticeship component) as detailed in the relevant Funding Table at [Annex 7](#).
- £80 upon completion of all the time stages as detailed in the relevant Funding Table.

Bonuses **must** be paid to participants on a timely basis and records **must** be retained for inspection purposes. Funding in respect of bonus payments will be generated via a linked approval process as each stage is approved on CMS/TMS.

#### **7.14 RESIDENTIALS**

Where it is considered appropriate for a participant to participate in a residential and the necessary approval has been obtained from TPB, the Supplier can claim actual costs up to a maximum of £100.

**Suppliers must use the ‘participant discretionary’ payment facility (ad hoc) to claim these expenses via TMS.**

#### **7.15 PROGRESSION FROM *TRAINING FOR SUCCESS* TO *APPRENTICESHIPSNI***

To progress from *Training for Success* to *ApprenticeshipsNI* the participant must satisfy the eligibility criteria for Level 2/Level 3 Apprenticeships ([Annex 12](#)). Suppliers must terminate the participant from *Training for Success* on TMS, using the appropriate Termination Code and then update TMS in line with the *ApprenticeshipsNI* Operational Guidelines.

#### **7.16 TRANSFERS/CHANGES WITHIN *TRAINING FOR SUCCESS***

##### **Movement within *Training for Success***

Any movement to a different component under *Training for Success* must be amended within the PTP on TMS.

#### **7.17 ENFORCED INTERRUPTION TO TRAINING**

A participant whose period of training is interrupted due to pregnancy, custodial sentence or care order must be withdrawn from the Provision. Where training has been withdrawn and the young person is in receipt of benefits from the SSA, the young person must notify their SSO/Jobs and Benefits Office of any change in their circumstances.

Where training has been withdrawn, the Supplier must notify the local JobCentre/Jobs and Benefits Office/Careers Office immediately via TMS/CMS processes and completion of ‘Enforced Interruption to Training’. The termination code ‘Enforced Interruption’ plus an actual end date for the participant must be entered into TMS. Form [TfS 10A](#) should also be completed and sent to the local JobCentre/Jobs and Benefits Office/Careers Office. When the Leavers Report is

produced in the JobCentre/Jobs and Benefits Office/Careers Office via the Non-Immediate Printing facility the paper record should be noted accordingly.

When the participant resumes training, 'Resumption to Training following an Enforced Interruption' must be completed immediately and forwarded via TMS/CMS processes to the local Jobcentre/Jobs and Benefits Office/Careers Office as a new Training Credit for the balance of time must be obtained from the local JobCentre/Jobs and Benefits Office/Careers Office. The Start code 'Rejoining' must be used. Forms [TfS 10B](#) and [TfS 5](#) must also be completed and sent to the local JobCentre/Jobs and Benefits Office/Careers Office.

### **7.18 ACCIDENTS**

Suppliers are responsible for investigating accidents whether they occur on their own premises or on those of Training Partners.

"Reportable" accidents **must** be reported immediately to the Department of Enterprise, Trade and Investment, Health & Safety Executive for N. Ireland on form NI2508 entitled 'Reporting of an Injury or Dangerous Occurrence' which can be downloaded. Suppliers must comply with any statutory requirements to notify the relevant enforcing body of fatalities, certain injuries, diseases or dangerous occurrences. Full details are given in Guidance Booklet RIDDOR (NI) 97. The Guidance Booklet and form NI2508 may be downloaded from [www.hseni.gov.uk/index/forms/accidents\\_dangerous\\_occurrences.htm](http://www.hseni.gov.uk/index/forms/accidents_dangerous_occurrences.htm)

**Suppliers must ensure that all reportable accidents are recorded on the TMS system.** Details of where the information to be input, can be found under the TMS console tree structure as follows:

- Management
- Client
- Accidents

### **7.19 FINANCIAL CONTROL AND ACCOUNTABILITY**

The Department has a duty to ensure that public money is used efficiently and effectively and that it is properly controlled and accounted for. For this reason, the Department employs a system of financial appraisal and monitoring which centres on the proper use of public money and the delivery of quality training. In addition, the Department will monitor and review the Supplier Performance Targets. Suppliers must be able to demonstrate that:

- they have the financial resources to fulfill their obligations under the Agreement;
- they operate effective financial systems and controls; and
- they maintain up-to-date accurate financial records.

Departmental staff will monitor *Training for Success* and will visit the Supplier or Training Partner during the year. They will wish to examine financial and attendance records, to carry out certain test-checks and also talk to a number of *Training for Success* participants about the payment of allowances, travel, and lodging costs.

The Department will require Suppliers at their own expense to:

- have any monthly Occupancy/Finance Statement certified by an independent accountant; and
- provide a report, by an independent accountant, on the financial resources available and the financial systems and controls operated in respect of monies received from the Department for the purposes of the Provision.

#### **7.19.1 Role of Financial Audit & Support Team (FAST)**

The Financial Audit & Support Team (FAST) provides the Department with a central and independent inspection and audit advisory service, the principle role of which is to provide the Accounting Officer with an assurance on the accountability of funding provided to external Suppliers. This assurance is provided by way of an annual report on the effectiveness of the financial systems, controls and compliance within organisations based on the findings of an annual programme of inspections. FAST's main objective is to safeguard Departmental funding against losses including those that might arise from ineligible claims, overpayments, irregularities or frauds.

#### **7.19.2 Role of Supplier Services Branch**

In the context of *Training for Success*, Supplier Services Branch (SSB) manages the claims processing for the range of provision which Suppliers have contracted with the Department to deliver, and the actioning of requests for prior approval to claim Output Related Funding (ORF) in regard to qualifications, employment, and progression outcomes.

The Branch is also responsible for the design, testing, and implementation of any software packages to facilitate the submission and processing of claims, as well as providing ad hoc training and ongoing support for staff in the various Suppliers. A Help-Desk facility is provided for Suppliers in relation to software and business



issues, and the team involved will refer queries of a more technical nature to the Fujitsu Support Team for resolution. The Help-Desk Team will assist with the development of a range of standard management information reports to support Training for Success. These reports contribute to key statistical data published in relation to the provision.

In addition, SSB has responsibility for the related policy and implementation of Educational Maintenance Allowance for unwaged participants in the three components of *Training for Success*.

### **7.19.3 Role of Quality and Performance Branch**

Quality & Performance Branch will focus on contract management and improving quality, the monitoring of Suppliers' performance in relation to compliance with procedures, and meeting the performance standards set out in the appropriate education and training contracts. It will aim to develop regular, consistent and robust reviews of Suppliers' performance to ensure consistently high standards and outcomes and value for money. It will also engage with LSDA (NI), to ensure that curriculum and staff development support is provided to Suppliers, in order to improve any reported areas for improvement.

## **7.20 RETENTION OF RECORDS**

Details of information to support claims, e.g. in respect of childcare, lodgings or travel costs, attendance records, etc., must be retained for inspection by the Department. Where appropriate, these should include invoices and receipts. Failure to provide satisfactory documentary evidence to support claims will result in reimbursement being disallowed and/or recovery of payments already made.

# **SECTION 8**

## **MARKETING**

## **8.0 MARKETING**

### **8.1 MARKETING BY THE DEPARTMENT**

The Department will market *Training for Success* through various media in accordance with its Marketing Strategy.

### **8.2 MARKETING BY SUPPLIERS**

Suppliers are free to market *Training for Success* themselves, provided that they meet the cost out of their own resources.

Guidance for promotional materials for *Training for Success*:

The *Training for Success* branding and the Departmental logo must appear on the front of all promotional materials for *Training for Success* and must be positioned in the bottom left hand corner inside a white band (please see example on the next page).

Guidelines on the use of the Department's logo can be found at [www.delni.gov.uk/index/publications/pubs-corporate-identity/corporate-identity-guidelines.htm](http://www.delni.gov.uk/index/publications/pubs-corporate-identity/corporate-identity-guidelines.htm)

Requests for permission to use the *Training for Success* branding, and the Departmental logo should be directed to:

Media & Marketing Unit  
Department for Employment and Learning  
G4 Adelaide House  
39 -49 Adelaide Street  
Belfast BT2 8FD  
Tel: (028) 90 257 518

Below is an example of how the branding should be used for *Training for Success*:



### 8.3 BRANDING GUIDELINES

Below is an example of how to set up the branding for *Training for Success* in conjunction with the department logo:



# **ANNEXES**

# PERSONAL TRAINING PLAN

## PARTICIPANT DETAILS

|                     |                      |                |                      |
|---------------------|----------------------|----------------|----------------------|
| Name                | <input type="text"/> | Address        | <input type="text"/> |
| Client Reference No | <input type="text"/> |                | <input type="text"/> |
| DOB                 | <input type="text"/> | Postcode       | <input type="text"/> |
| Gender              | <input type="text"/> | Home Tel No    | <input type="text"/> |
| NI Number           | <input type="text"/> | Mobile Tel No  | <input type="text"/> |
| Disability          | Yes No               | Contact Tel No | <input type="text"/> |
| Parent/Guardian     | <input type="text"/> | E-mail Address | <input type="text"/> |

## COMPONENT DETAILS

|                     |                      |                    |                      |
|---------------------|----------------------|--------------------|----------------------|
| Component Name      | <input type="text"/> | Component Duration | <input type="text"/> |
| Start Date          | <input type="text"/> | Expected End Date  | <input type="text"/> |
| Hours of Attendance | <input type="text"/> |                    | <input type="text"/> |

## PARTICIPANT BACKGROUND

### Qualifications & Achievements

| Qualifications/Awards | Awarding Body | Level/Grade | Date | Copy Received (yes/no) |
|-----------------------|---------------|-------------|------|------------------------|
|                       |               |             |      |                        |
|                       |               |             |      |                        |
|                       |               |             |      |                        |
|                       |               |             |      |                        |
|                       |               |             |      |                        |
|                       |               |             |      |                        |

### Previous Work Experience/Employment

| Employer | To | From | Duties |
|----------|----|------|--------|
|          |    |      |        |
|          |    |      |        |
|          |    |      |        |
|          |    |      |        |
|          |    |      |        |

### Hobbies and Interests

### Career/Employment Objectives

## RESULTS OF INITIAL AND DIAGNOSTIC ASSESSMENTS

### Essential Skills

|                 |                |                |                     |
|-----------------|----------------|----------------|---------------------|
| <b>Literacy</b> | <b>Reading</b> | <b>Writing</b> | <b>Speak/Listen</b> |
|                 |                |                |                     |

Competency Level/Development Considerations

|                 |               |                      |            |
|-----------------|---------------|----------------------|------------|
| <b>Numeracy</b> | <b>Number</b> | <b>Handling Data</b> | <b>MSS</b> |
|                 |               |                      |            |

Competency Level/Development Considerations

|            |                        |                              |                 |
|------------|------------------------|------------------------------|-----------------|
| <b>ICT</b> | <b>Keyboard Skills</b> | <b>Programs/Applications</b> | <b>Hardware</b> |
|            |                        |                              |                 |

Competency Level/Development Considerations

### Occupational Skills

| Skill | No Development | Limited Development | Developed | Well Developed |
|-------|----------------|---------------------|-----------|----------------|
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |
|       | 1              | 2                   | 3         | 4              |

### Learning Needs/Identified Barriers To Employment from the Baseline Interview

**Comment (Summative evaluation of personal profile including preferred learning style/s and additional Learning Needs)**



# TRAINING ARRANGEMENTS

## Target Qualification

| Qualification Unit Title:      |  | NDAQ:                  | Tutor/ Location | Target Date |
|--------------------------------|--|------------------------|-----------------|-------------|
| <b>Milestone Targets</b>       |  | <b>Delivery Method</b> |                 |             |
| <b>1</b><br>(25%-30%)          |  |                        |                 |             |
|                                |  |                        |                 |             |
|                                |  |                        |                 |             |
|                                |  |                        |                 |             |
| <b>2</b><br>(50%-55%)          |  |                        |                 |             |
|                                |  |                        |                 |             |
|                                |  |                        |                 |             |
|                                |  |                        |                 |             |
| <b>3</b><br>(75%-80%)          |  |                        |                 |             |
|                                |  |                        |                 |             |
|                                |  |                        |                 |             |
|                                |  |                        |                 |             |
| <b>4</b><br>(Full Achievement) |  |                        |                 |             |
|                                |  |                        |                 |             |
|                                |  |                        |                 |             |
|                                |  |                        |                 |             |

## Essential Skills

|          | NDAQ | Target Level | Tutor/ Location | Target Date |
|----------|------|--------------|-----------------|-------------|
| Literacy |      |              |                 |             |
| Numeracy |      |              |                 |             |
| ICT      |      |              |                 |             |

## Other Enhancements/Qualifications/Courses

| Qualification Unit Title | NDAQ | Tutor | Location | Target Date |
|--------------------------|------|-------|----------|-------------|
|                          |      |       |          |             |
|                          |      |       |          |             |
|                          |      |       |          |             |
|                          |      |       |          |             |

## Other Support Arrangements (including Specialist Support)

| Descriptor | Responsible | Desired Outcome |
|------------|-------------|-----------------|
|            |             |                 |
|            |             |                 |
|            |             |                 |
|            |             |                 |

**Job Preparation/Job Search**

| Qualification/Objectives | Tutor | Target Date |
|--------------------------|-------|-------------|
|                          |       |             |
|                          |       |             |
|                          |       |             |
|                          |       |             |
|                          |       |             |
|                          |       |             |

**Transferable Skills**

| Short term targets to be met prior to being considered for employment | No Development | Limited Development | Developed | Well Developed |
|---|----------------|---------------------|-----------|----------------|
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |
|   | 1              | 2                   | 3         | 4              |

**WORK EXPERIENCE/PLACEMENT (See Delivery Agreement)**

|          |  |            |  |
|----------|--|------------|--|
| Employer |  | Start Date |  |
| Contact  |  | Duration   |  |

**STATEMENT OF PARTICIPANTS TRAINING OBJECTIVES**

Under the Training for Success arrangements I ....

**PTP REVIEW**

Participant's progress towards the targets and objectives of this *Training for Success* PTP will be reviewed at four and six weekly intervals depending on the component undertaken by the learner.

|                             |  |      |  |
|-----------------------------|--|------|--|
| Participant                 |  | Date |  |
| Organisation representative |  | Date |  |

**Review and Monitoring (Complete new sheet for each Review)**

|                        | Review | Targets |
|------------------------|--------|---------|
|                        | Date   | Date    |
| Targeted Qualification |        |         |
| Essential Skills       |        |         |
| Occupational Skills    |        |         |
| Other                  |        |         |
| Action required        |        |         |

|          |  |
|----------|--|
| Learner  |  |
| Supplier |  |
| Employer |  |

## Learning Pathway Amendments

| Date | Issue/s | Action/Intervention | Outcome/s |
|------|---------|---------------------|-----------|
|      |         |                     |           |
|      |         |                     |           |
|      |         |                     |           |
|      |         |                     |           |

## Progression/Career Development

Guidance and advice on progression routes and careers has been given

Yes

No

List Skills/Experience gained from Work Based Learning to date

Qualifications achieved from PTP (final review)

Access the self-assessment exercise appropriate to you

FE <http://www.bbc.co.uk/radio1/onelife/work/index.shtml>

Select What job, What are you like and Careers Quiz.

HE <https://www.careersserviceni.com>

Select Where do I start, Not sure what you want to do, then Career Development Tools

What are the next steps for you?

Learner

Date

Tutor

Date

## INDUCTION

Please list indicators that are appropriate (**insert organisation name and occupational area**)

I have been advised that my Training Supplier is in full compliance with Section 75 of the Northern Ireland Act 1998 and 2004 SENDO legislation

I have received a general induction to the Supplier's premises, including emergency exits, fire drill, assembly points, and domestic facilities

I have received a formal induction about my training, including terms and conditions (including sickness, hours of attendance, holidays, and travel conditions and allowances)

I have attended formal induction and assessment for the outcomes detailed in my Personal Training Plan

I have attended formal induction and assessment for Essential/Key Skills

I have read and agree with the statements regarding what is expected of me

I have started to complete a Progress File

I have received a copy of the Learner Handbook/Course Handbook

I have been informed about issues relating to Health & Safety

I have received information on learner support services

I have received information on the Supplier's complaints and formal appeals procedure.

I am aware of my key contact person

I have received information on progression routes and career opportunities.

When learner enters work placement, further induction is to be completed

|                      |  |                           |  |
|----------------------|--|---------------------------|--|
| Learner<br>Sign/Date |  | Organisation<br>Sign/Date |  |
|----------------------|--|---------------------------|--|

**Training for Success Personal Training Plan (PTP)  
Supplier Checklist**

| <b>Initial Submission</b>   | <b>Circle One</b>   |
|---|---|
| Has the initial quantitative PTP been submitted on TMS to enable it to be Approved/Rejected?  | Yes<br>No   |
| Has the PTP been submitted outside the timescale, in which case it will be Validated/Rejected?  | Yes<br>No   |
| <p>Have all sections been completed to reflect unique learner requirements?</p> <ul style="list-style-type: none"> <li>• Careers/Employment Objectives?</li> <li>• Training Objectives?</li> <li>• Skills?</li> <li>• Other Enhancements?</li> <li>• Training Arrangements?</li> <li>• Support?</li> <li>• Milestones?</li> </ul> | <p>Yes<br/>No</p> <p>Yes<br/>No</p> <p>Yes<br/>No</p> <p>Yes<br/>No</p> <p>Yes<br/>No</p> <p>Yes<br/>No</p> <p>Yes<br/>No</p> |
| Does the PTP reflect the outcomes of Initial Assessment/ Induction Activities?  | Yes<br>No   |
| Have Essential Skills Initial Assessment results/targets been recorded?   | Yes<br>No   |
| Are all the milestones relevant to individual learner needs?  | Yes<br>No   |
| Does the PTP reflect your own notes/information on this   | Yes   |



|   |                   |
|---|-------------------|
| learner?  | No                |
| Have all Stakeholders' programme inputs been included in the PTP (e.g. work placement provider, training staff etc...)?                   | Yes<br>No         |
| Are there SMART targets for each objective to be achieved?  | Yes<br>No         |
| Have monitoring arrangements been included for the achievement of objectives?   | Yes<br>No         |
| Has an assessment for specialist support been completed?  | Yes<br>No         |
| Has a referral to a Specialist Support Provider taken place, if required?   | Yes<br>No         |
| Do the work experience details reflect the learner's employment objectives?   | Yes<br>No         |
| Is the duration of work experience outlined with anticipated increase?  | Yes<br>No         |
| Does the PTP clearly demonstrate the necessary training arrangements to enable the learner to achieve their overall programme objectives? | Yes<br>No         |
| <b>Ongoing Review</b>   | <b>Circle One</b> |
| Is the PTP unique and not the same as every other one generated within the vocational area / your organisation?                           | Yes<br>No         |
| Does the PTP need to be resubmitted, if so, has additional content been agreed/included?  | Yes<br>No         |
| Can resubmission allow approval to take place?  | Yes<br>No         |
| Has the PTP been updated regularly throughout the programme?  | Yes<br>No         |
| When milestones have been achieved has the PTP been updated   | Yes<br>No         |
| Has the PTP been updated before Progression Interview takes place   | Yes<br>No         |

## DELIVERY AGREEMENT

### 1. Employer Details

Company Name (Print) \_\_\_\_\_  
Nature of Business \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Telephone Number \_\_\_\_\_  
Name of Contact (print) \_\_\_\_\_  
Position \_\_\_\_\_  
Contact for Learner \_\_\_\_\_  
Position \_\_\_\_\_  
Duration of Placement \_\_\_\_\_

| Insurance Details (To include level of Cover/Policy No)? |       |
|--|-------|
| Provider   | _____ |
| Expiry Date  | _____ |

### 2. Training for Success Participant Details

Name (Print) \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Date of Birth \_\_\_\_\_  
National Insurance Number \_\_\_\_\_  
Contact Number \_\_\_\_\_

### 3. Supplier Details

Supplier \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Telephone Number \_\_\_\_\_  
Contact Name (print) \_\_\_\_\_

## **4. Employer Responsibilities**

- 4.1 To provide the experience, facilities, and training necessary to achieve the training objective as discussed and agreed with the *Training for Success* participant and specified in the Personal Training Plan.
- 4.2 To comply with all relevant legal and contractual responsibilities in respect of health and safety, and to take steps to ensure equality of opportunity, regardless of community background, gender, marital status, disability, race, political opinion, sexual orientation, age, or dependents.

## **5. Training for Success Participant Responsibilities**

- 5.1 To discuss and agree the Personal Training Plan with the Supplier and, on a regular basis, jointly review progress towards the achievement of objectives.
- 5.2 To be diligent and punctual in work and training; and to strive consistently and conscientiously towards achieving each of the objectives set out in the Personal Training Plan.
- 5.3 To behave at all times in a responsible manner and in accordance with health and safety requirements; and to promote the best interests of the employer.
- 5.4 To commence/continue the completion of a personal Progress File and demonstrate commitment to the principles of identifying and recording achievement throughout the *Training for Success* training.

## **6. Supplier Responsibilities**

- 6.1 To monitor the training of the *Training for Success* participant and confirm that the Supplier's quality assurance requirements, including health and safety obligation, are being met.
- 6.2 To assist the *Training for Success* participant to identify and record their achievement throughout the work experience period.

|   |
|---|
| <b>Employer - Skills Activities (on-the-job training)</b> |
|   |
| <b>Attendance Arrangements</b>                            |
|   |

|  |
|--|
| <b><i>Training for Success</i> Participant – Experience/Outcomes</b> |
|  |

|  |
|--|
| <b>Supplier - Learning Activities (off-the-job training)</b> |
|  |
| <b>Attendance Arrangements</b>                               |
|  |

# TRAINING FOR SUCCESS



***We, the undersigned, have read this Agreement and accept the terms contained within it. It is understood that the Agreement does not constitute the basis of a contract of employment between any of the participating persons or organisations. A copy of this Agreement will be held by each of the undersigned***

Signed \_\_\_\_\_ Name (Print) \_\_\_\_\_ Date \_\_\_\_\_  
(Employer)

Signed \_\_\_\_\_ Name (Print) \_\_\_\_\_ Date \_\_\_\_\_  
(Participant)

Signed \_\_\_\_\_ Name (Print) \_\_\_\_\_ Date \_\_\_\_\_  
(Supplier Authorised Signatory)

**Delivery Agreement –  
Completion of Placement Feedback/Evaluation**

| <b>Employer</b>                      | <b>Please comment on Learner</b> |
|--------------------------------------|----------------------------------|
| <b>Objectives Achieved</b>           |                                  |
| <b>Punctuality</b>                   |                                  |
| <b>Attitude/Motivation</b>           |                                  |
| <b>Working Relationships</b>         |                                  |
| <b>Evaluation (Learner/Supplier)</b> |                                  |
|                                      |                                  |

| <b>Training for Success Participant</b>   | <b>Please comment on your placement</b> |
|---|---|
| <b>My Workplace Experience</b>            |   |
| <b>My Punctuality</b>                     |   |
| <b>My Attitude/Motivation</b>             |   |
| <b>My Working Relationships</b>           |   |
| <b>My Evaluation (Placement/Supplier)</b> |   |
|   |   |

| <b>Supplier</b>             | <b>Future activities for learner</b> |                            |
|-----------------------------|--------------------------------------|----------------------------|
|                             |                                      |                            |
| <b>Employer - Sign/Date</b> | <b>Learner- Sign/Date</b>            | <b>Supplier- Sign/Date</b> |
|                             |                                      |                            |

## USEFUL CONTACTS

| NAME                                      | ADDRESS  | TEL             | FAX             | WEB  |
|---|--|-----------------|-----------------|--|
| Equality Commission for Northern Ireland  | Information & Advice Team<br>Equality House<br>7-9 Shaftesbury Square<br>Belfast               | (028) 9050 0600 | (028) 9033 1544 | <a href="http://www.equalityni.org">www.equalityni.org</a> |
| Learning & Skills Development Agency (NI) | 2nd Floor<br>Alfred House<br>Belfast<br>BT2 8ED  | (028) 9044 7700 | (028) 9031 9077 | <a href="http://www.lsdani.org.uk">www.lsdani.org.uk</a>   |
| DEL Media & Marketing Unit                | DEL<br>Adelaide House<br>39/49 Adelaide Street<br>Belfast<br>BT2 8FD                           | (028) 9025 7518 |                 | <a href="http://www.delni.gov.uk">www.delni.gov.uk</a>     |
| Qualifications & Curriculum Authority     | QCA Northern Ireland<br>2nd Floor<br>Glendinning House<br>6Murray Street<br>Belfast<br>BT1 6DN | (028) 9033 0706 | (028) 9023 1621 | <a href="http://www.qca.org.uk">www.qca.org.uk</a>         |
| DEL Quality and Performance Branch        | 3rd Floor<br>Lesley Buildings<br>61 Fountain Street<br>Belfast<br>BT1 5EX                      | (028) 9044 1910 | (028) 9044 1861 | <a href="http://www.delni.gov.uk">www.delni.gov.uk</a>     |
| DEL Training Programmes Branch            | 3rd Floor<br>Lesley Buildings<br>61 Fountain Street<br>Belfast<br>BT1 5EX                      | (028) 9044 1873 | (028) 9044 1861 | <a href="http://www.delni.gov.uk">www.delni.gov.uk</a>     |

**Annex 5****TIMETABLE FOR CLAIMS  
TRAINING FOR SUCCESS 2008/09**

| <b>Claim Period</b> | <b>Week Commencing</b> | <b>Week Ending</b> | <b>To Be in SSB By</b> |
|---------------------|------------------------|--------------------|------------------------|
| 7                   | 01/09/2008             | 28/09/2008         | 10/10/2008             |
| 8                   | 29/09/2008             | 26/10/2008         | 07/11/2008             |
| 9                   | 27/10/2008             | 23/11/2008         | 05/12/2008             |
| 10                  | 24/11/2008             | 21/12/2008         | 02/01/2009             |
| 11                  | 22/12/2008             | 18/01/2009         | 30/01/2009             |
| 12                  | 19/01/2009             | 15/02/2009         | 27/02/2009             |
| 13                  | 16/02/2009             | 15/03/2009         | 27/03/2009             |



## Annex 6

### *Training for Success Targets*

| <b>Training for Success</b>                      |   |  |
|--|---|--|
| <b>Personal Development/Skills for Your Life</b> |   |  |
| (i)  | To ensure that 40% of those participants who commence the Personal Development/Skills for Your Life component during the training period Sept 2007-March 2008 will achieve a positive progression to another component within <i>Training for Success</i> , an Apprenticeship, Further Education, Training, or Employment by March 2009 |  |
| <b>Skills For Work</b>                           |   |  |
| (ii)   | To ensure that 45% of a those participants who commence the Skills for Work (Level 1) component during the training period Sept 2007-March 2008 will achieve a targeted Level 1 qualification by March 2009   |  |
| (iii)  | To ensure that 40% of those participants who commence the Skills for Work (Level 1) component during the training period Sept 2007-March 2008 will achieve a progression to another component within <i>Training for Success</i> , an Apprenticeship, Further Education, Training, or Employment by March 2009                          |  |
| <b>Pre-Apprenticeship</b>                        |   |  |
| (v)  | To ensure that 60% of those participants who commence the Pre-Apprenticeship component during the training period Sept 2007-March 2008 will achieve a targeted Level 2 qualification by March 2009  |  |
| (vi)   | To ensure that 70% of all those who commence the Pre-Apprenticeship component during the training period Sept 2007-March 2008 will progress to an Apprenticeship, Further Education, Training, or Employment by March 2009  |  |

### Training for Success Funding Tables

| PERSONAL DEVELOPMENT/SKILLS FOR YOUR LIFE                      |              |                      |
|--|--------------|----------------------|
| Funding  | 52 Weeks     | Disabled<br>52 Weeks |
|  | £            | £                    |
| <b>Weekly Training Fee (note 1)</b>                            | 80           | 110<br>(note 2)      |
| <b>Number of Training Weeks Supported</b>                      | <b>52</b>    | <b>52</b>            |
| <b>Agreement of Personal Training Plan (note 3)</b>            | 300          | 300                  |
| <b>Output Related Funding (ORF)</b>                            |              |                      |
| <b>ORF</b>   |              |                      |
| VRQ/Qualification Outcome                                      | 400          | 400                  |
| <b>Essential Skills</b>  |              |                      |
| Paid on Achievement of ICT                                     | 100          | 100                  |
| Paid on Achievement of Numeracy/Application of Number          | 100          | 100                  |
| Paid on Achievement of Literacy/Communication                  | 100          | 100                  |
| <b>Progression (note 4)</b>                                    |              |                      |
| Progression into FE, other provision, F/T Employment           | 500          | 500                  |
| <b>Participant Bonus (note 5)</b>                              |              |                      |
| Stage Payment – 13 Weeks                                       | 40           | 40                   |
| Stage Payment – 26 Weeks                                       | 40           | 40                   |
| Stage Payment – 39 Weeks                                       | 40           | 40                   |
| Stage Payment - 52 Weeks                                       | 80           | 80                   |
| <b>Overall Available Funding to Suppliers</b>                  | <b>5,660</b> | <b>7,220</b>         |
| <b>Overall Bonus Funding Available to Participant (note 6)</b> | <b>200</b>   | <b>200</b>           |

**Notes:**

- Weekly Training Fee payable to Supplier.
- Young people with a disability are eligible to enter the provision if they have attained the minimum school leaving age, are unemployed and under 22 years of age. A premium weekly training fee may be payable in respect of participants with a disability and this is included within the training fee. This premium aims to help a Supplier provide significant additional input of resources in terms of training time, equipment, or support in order for the participant to benefit fully from the training. In addition, specialist support is also available (see [paragraph 2.10](#)).
- Paid on approval of the PTP on TMS by the Department which must be claimed within **13 weeks** of the start date.
- Paid on achievement of sustained employment or progression to either further education or within *Training for Success* or *ApprenticeshipsNI*.
- Participant bonus paid to participants by Suppliers and then reimbursed by Department.
- Participants will receive a maximum of £200 bonus payments in addition to their weekly Educational Maintenance Allowance of £40 per week.

| <b>SKILLS FOR WORK</b>   |                 |                                   |
|--|-----------------|-----------------------------------|
| <b>Funding</b>   | <b>52 Weeks</b> | <b>Disabled<br/>156 Weeks Max</b> |
|  | <b>£</b>        | <b>£</b>                          |
| <b>Weekly Training Fee (note 1)</b>                            | 80              | 110<br>(note 2)                   |
| <b>Number of Training Weeks Supported</b>                      | <b>52</b>       | <b>156</b>                        |
| <b>Agreement of Personal Training Plan (note 3)</b>            | 300             | 300                               |
| <b>Output Related Funding (ORF)</b>                            |                 |                                   |
| <b>ORF</b>   |                 |                                   |
| VRQ Outcome  | 400             | 400                               |
| <b>Essential Skills</b>  |                 |                                   |
| Paid on Achievement of ICT Level 1/Level 2                     | 100             | 100                               |
| Paid on Achievement of Numeracy/Application of Number          | 100             | 100                               |
| Paid on Achievement of Literacy/Communication                  | 100             | 100                               |
| <b>Progression (note 4)</b>                                    |                 |                                   |
| Progression into FE, other provision, F/T Employment           | 500             | 500                               |
| <b>Participant Bonus (note 5)</b>                              |                 |                                   |
| Stage Payment – 13 Weeks                                       | 40              | 40                                |
| Stage Payment – 26 Weeks                                       | 40              | 40                                |
| Stage Payment – 39 Weeks                                       | 40              | 40                                |
| Stage Payment - 52 Weeks                                       | 80              | 80<br>(note 7)                    |
| <b>Overall Available Funding to Suppliers</b>                  | <b>5,660</b>    | <b>18,660</b>                     |
| <b>Overall Bonus Funding available to Participant (note 6)</b> | <b>200</b>      | <b>600</b>                        |

**Notes:**

1. Weekly Training Fee payable to Supplier.
2. Young people with a disability are eligible to enter the provision if they have attained the minimum school leaving age, are unemployed and under 22 years of age. A premium weekly training fee may be payable in respect of participants with a disability and this is included within the training fee. This premium aims to help a Supplier provide significant additional input of resources in terms of training time, equipment, or support in order for the participant to benefit fully from the training. In addition, specialist support is also available (see [paragraph 2.10](#)).
3. Paid on approval of the PTP on TMS by the Department which must be claimed within **13 weeks** of the start date.
4. Paid on achievement of sustained employment or progression to either further education or within *Training for Success* or *ApprenticeshipsNI*.
5. Participant bonus paid to participants by Suppliers and then reimbursed by Department. For the 156 week provision, these stage payments will be paid on a quarterly basis for each year.
6. Participants will receive a maximum of £200 bonus payments in addition to their weekly Educational Maintenance Allowance of £40 per week.
7. Bonus payments for participants with a disability should be paid at each of the stages set out, for each of the 3 years (maximum) on the provision, or until the participant has progressed.

| <b>PRE-APPRENTICESHIP</b>                                      |                 |   |
|--|-----------------|---|
| <b>Funding</b>   | <b>52 Weeks</b> | <b>Up to a maximum of 78 Weeks (note 7)</b> |
|  | <b>£</b>        | <b>£</b>                                    |
| <b>Weekly Training Fee (Note 1)</b>                            | 80*             | 80*   |
|  | 55              | 55  |
| <b>Agreement of Personal Training Plan (Note 2)</b>            | 300             | 300   |
| <b>Output Related Funding (ORF)</b>                            |                 |   |
| <b>ORF</b>   |                 |   |
| Achievement of Technical Certificate                           | 400             | 400   |
| <b>Essential Skills</b>  |                 |   |
| Paid on Achievement of ICT Level 1/Level 2                     | 100             | 100   |
| Paid on Achievement of Numeracy/Application of Number          | 100             | 100   |
| Paid on Achievement of Literacy/Communication                  | 100             | 100   |
| <b>Progression (note 3)</b>                                    |                 |   |
| Progression into FE, other provision, F/T Employment           | 500             | 500   |
| <b>Participant Bonus (note 4)</b>                              |                 |   |
| Stage Payment – 13 Weeks                                       | 40              | 40  |
| Stage Payment – 26 Weeks                                       | 40              | 40  |
| Stage Payment – 39 Weeks                                       | 40              | 40  |
| Stage Payment - 52 Weeks                                       | 80              | 40  |
| Stage Payment – 78 Weeks                                       |                 | 80  |
| <b>Overall Available Funding to Suppliers</b>                  |                 |   |
|  | <b>4,660</b>    | <b>6,090</b>                                |
| <b>Overall Bonus Funding Available to Participant (Note 5)</b> |                 |   |
|  | <b>200</b>      | <b>240</b>                                  |

**Notes:**

- Weekly Training Fee payable to Supplier. \*The Weekly Training Fee will be £80 per week for the first 12 weeks, and £55 per week for the remaining 40/66 weeks of the provision.
- Paid on approval of the PTP on TMS by the Department which must be claimed within **13 weeks** of the start date.
- Paid on achievement of sustained employment or progression to either further education or within *Training for Success* or *ApprenticeshipsNI*.
- Participant bonus paid to participants by Suppliers and then reimbursed by Department.
- Participants will receive a maximum of £200/£240 bonus payments in addition to their weekly Educational Maintenance Allowance of £40 per week.
- Young people with a disability are eligible to enter the provision if they have attained the minimum school leaving age, are unemployed and under 22 years of age. A Disability Supplement of £30 per week may be paid in respect of participants with a disability. This supplement aims to help a Supplier provide significant additional input of resources in terms of training time, equipment, or support in order for the participant to benefit fully from the training. In addition, specialist support is also available (see [paragraph 2.10](#)).
- The Pre-Apprenticeship component can be delivered within up to a maximum of 78 weeks, if it cannot be completed within 52 weeks. Sector Skills Councils will specify the maximum required number of weeks for the delivery of this component in their respective occupational areas.

### Specialist Support Providers

| <b>NAME</b>              | <b>CONTACT</b>   | <b>ADDRESS</b>  | <b>TELEPHONE</b>   | <b>HOURLY RATE (£)</b> |
|--------------------------|------------------|---|--------------------|------------------------|
| Disability Action        | Dermot McCluskey | Portside Business Park<br>189 Airport Road<br>Belfast<br>BT3 9ED                | (028) 9029<br>7880 | 31.00                  |
| Include Youth            | Paddy Mooney     | Alpha House<br>3 Rosemary Street<br>Belfast<br>BT30 7TR                         | (028) 9031<br>1007 | 35.50 –<br>55.00       |
| Opportunity Youth        | Ms Elaine Kelly  | Hildon House<br>30-34 Hill Street<br>Belfast                                    | (028) 9043<br>5810 | 25.69 –<br>27.98       |
| Sensory Learning Support | Ms Joan Anderson | 85 Jordanstown Road<br>Newtownabbey<br>BT37 0QE                                 | (028) 9086<br>8361 | 43.00 –<br>45.50       |
| The Cedar Foundation     | Mr Kieran Molloy | 1a Woodside Road<br>Industrial Estate<br>Woodside Road<br>Ballymena<br>BT42 4QJ | (028) 2565<br>9111 | 38.00                  |

## Travel Costs – Contract Management Areas

The following contribution to weekly travel costs will be paid for all participants in the components of *Training for Success*.

|                | Standard Rate |
|----------------|---------------|
|                | £3            |
| Antrim         | “             |
| Belfast        | “             |
| Carrickfergus  | “             |
| Castlereagh    | “             |
| Craigavon      | “             |
| Lisburn        | “             |
| Newtownabbey   | “             |
| North Down     | “             |
|                | £5            |
| Ards           | “             |
| Armagh         | “             |
| Banbridge      | “             |
| Coleraine      | “             |
| Derry          | “             |
|                | £9            |
| Ballymena      | “             |
| Ballymoney     | “             |
| Cookstown      | “             |
| Down           | “             |
| Dungannon      | “             |
| Fermanagh      | “             |
| Larne          | “             |
| Limavady       | “             |
| Magherafelt    | “             |
| Moyle          | “             |
| Newry & Mourne | “             |
| Omagh          | “             |
| Strabane       | “             |

**Please note the contribution payable will be based on the address of the Supplier site with regard to the contract management area in which they are based.**

## CHILDCARE PAYMENTS

The maximum amount of financial assistance per participant per week is shown in the table below:

| No of Children       | REGISTERED CHILDMINDER |                          | RELATIVE       |                          |
|----------------------|------------------------|--------------------------|----------------|--------------------------|
|                      | Full-Time Care         | Out of School Hours Care | Full-Time Care | Out of School Hours Care |
| First child          | £130                   | £95                      | £70            | £45                      |
| Two or more Children | £240                   | £170                     | £100           | £65                      |
|                      | £240 maximum           |                          | £100 maximum   |                          |

### NOTE:

Where a combination of a registered child minder and a relative is used, the overriding maximum contribution will be £240 per participant per week.

**SPECIMEN RECORD OF VERBAL WARNING**

TO: ..... DATE: .....  
(Name of Participant)

**VERBAL WARNING**

This is to confirm that an oral warning was given to you on ..... and has been noted on your training record. This warning was in respect of (here detail reason for warning).

It is hoped that there will be no need for further action, but if there is not an immediate and sustained improvement in your conduct/performance you will receive a written warning, as detailed in the disciplinary procedures. If your conduct/performance remains satisfactory over the next 3 months the copy of this note will be removed from your training record.

Signed on behalf of the Supplier

.....

.....  
(Name of Supplier)

I acknowledge receipt of this confirmation of the verbal warning given to me on ..... and understand its implications.

Signed: .....  
(Participant)

Date: .....

Witnessed by: .....

- 1 COPY TO PARTICIPANT**
- 1 COPY TO PARTICIPANT'S RECORDS**
- 1 COPY TO CAREERS ADVISER**



**SPECIMEN FIRST WRITTEN WARNING**

TO: ..... DATE: .....  
(Name of Participant)

**FIRST WRITTEN WARNING**

This is a written warning about your conduct/performance and a copy of it has been placed on your training record. It is issued to you because (here detail reason for warning).

You are warned that if there is not an immediate and sustained improvement in your conduct/performance you will receive a final written warning, as detailed in the disciplinary procedures. It is hoped, however, that there will be no need for further action and if your conduct/performance remains satisfactory over the next 3 months the copy of this warning will be removed from your training record.

Signed on behalf of the Supplier

.....

.....

(Name of Supplier)

I acknowledge receipt of this written warning and understand its implications

Signed: .....  
(Supplier)

Date: .....

Witnessed by: .....

- 1 COPY TO PARTICIPANT
- 1 COPY TO PARTICIPANT'S RECORDS
- 1 COPY TO CAREERS ADVISER

**SPECIMEN FINAL WRITTEN WARNING**

TO: ..... DATE: .....  
(Name of Participant)

**FIRST WRITTEN WARNING**

This is a final written warning about your conduct/performance and a copy of it has been placed on your training record. It is issued to you because (here detail reason for warning).

You are warned that if there is not an immediate and sustained improvement in your conduct/performance a recommendation will be made to the Department for Employment and Learning that you should be dismissed from *Training for Success*. It is hoped that there will be no need for such action and if your conduct/performance remains satisfactory over the next 3 months the copy of this warning will be removed from your training record.

Signed on behalf of the Supplier

.....

.....  
(Name of Supplier)

I acknowledge receipt of this written warning and understand its implications

Signed: .....  
(Participant)

Date: .....

Witnessed by: .....

- 1 COPY TO PARTICIPANT**
- 1 COPY TO PARTICIPANTS'S RECORDS**
- 1 COPY TO CAREERS ADVISER**

**SPECIMEN DISMISSAL LETTER**

Dear

I regret to inform you that it has become necessary to end your period of training at

.....

with effect from ..... due to .....

Because of this you will not be permitted to re-enter training under *Training for Success* until a period of 8 weeks/13 weeks has elapsed since your last day of training. If, at that stage, you are eligible to rejoin and wish to do so, you will be required to sign an undertaking that you will abide by the normal code of conduct and attendance stipulated by the Supplier.

You have a right to appeal against this decision. If you wish to do so, you should write to the Head of Training Programmes Branch, Department for Employment and Learning, Lesley Buildings, 61 Fountain Street, BELFAST, BT1 5EX stating the full grounds of your appeal. Your appeal must be received within 21 days of issue of this letter.

I have arranged for you to see a Careers Adviser at

.....

on ..... at ..... **am/pm.**

Yours sincerely

- 1 COPY TO PARTICIPANT**
- 1 COPY TO PARTICIPANT'S RECORDS**
- 1 COPY TO CAREERS ADVISER**

**Eligibility Criteria - ApprenticeshipsNI**

**An unemployed person**

To be eligible to enter *ApprenticeshipsNI* funded Level 2/Level 3 Apprenticeship provision, an unemployed person must:

- have attained the minimum school leaving age;
- be about to take up full-time remunerative employment with a Northern Ireland-based company, and be contracted to work a minimum of 21 hours per week (including day release/off-the-job training) with one employer;
- have the potential to successfully complete all the requirements of the appropriate Level 2/Level 3 Apprenticeship Framework;
- meet any health requirements (e.g. colour vision) specific to the occupation of their choice;
- have achieved any necessary entry academic qualifications (e.g. GCSE) determined by the relevant sector for the Apprenticeship and approved by the Department; and
- pass any entry tests specified by the relevant sector/the employer and approved by the Department.

**An existing employee**

To be eligible to enter *ApprenticeshipsNI* funded Level 2/Level 3 Apprenticeship provision, an existing employee must:

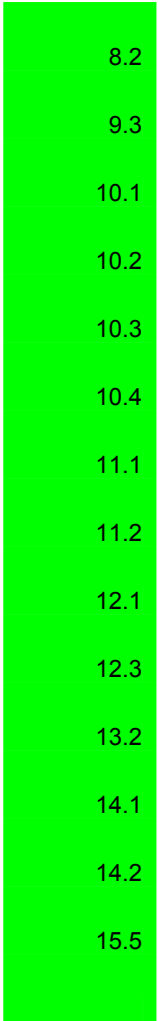
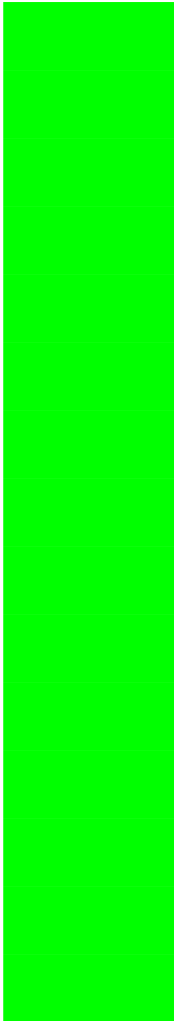
- be in full-time remunerative employment with a Northern Ireland-based company from day one of the Apprenticeship;
- be contracted to work a minimum of 35 hours per week (including day release / off-the-job training) with one employer; and
- meet all the other eligibility criteria as set out above.

## TOC - NDAQ MAPPING

| TOC | Fund Cat | TOC DESCRIPTION           | NDAQ REF | NDAQ DESCRIPTION                 |
|-----|----------|---------------------------|----------|----------------------------------|
| A11 | A        | Personnel Administration  | 15.2     | Administration                   |
| A12 | A        | Finance & Law             | 15.1     | Accounting & Finance             |
| A13 | A        | Ops Research / Stats      | 2.2      | Maths & Statistics               |
| A14 | A        | Business Studies          | 15.2     | Administration                   |
| A15 | A        | Administration            | 15.2     | Administration                   |
| A16 | A        | Reception / Secretarial   | 15.2     | Administration                   |
| A21 | A        | Information Science       | 15.2     | Administration                   |
| A31 | A        | Enterprise Training       | 15.2     | Administration                   |
| A41 | B        | Computer Science          | 6.1      | ICT Practitioners                |
| A42 | A        | General Computing / DP    | 6.2      | ICT for Users                    |
| A91 | A        | Management                | 15.3     | Business Management              |
| B11 | A        | Design                    | 9.2      | Crafts Creative Arts, Design     |
| B12 | A        | Craft Production          | 9.2      | Crafts Creative Arts, Design     |
| B13 | A        | Photography / AVC         | 9.2      | Crafts Creative Arts, Design     |
| B14 | A        | Performing Arts           | 9.1      | Performing Arts                  |
| B15 | A        | Other Art                 | 9.2      | Crafts Creative Arts, Design     |
| B21 | A        | Report Writing            | 9.4      | Publishing, Information Services |
| B22 | A        | Language Translation      | 12.2     | Other Lang, Lit & Culture        |
| B31 | A        | Teacher Training          | 13.1     | Teaching & Lecturing             |
| B32 | A        | Ed Guidance / Careers     | 13.1     | Teaching & Lecturing             |
| B41 | A        | Leisure                   | 8.1      | Sport, Leisure, Recreation       |
| B91 | A        | Management / Adv Training | 0        | N/A                              |
| C11 | A        | Nursing Studies           | 1.2      | Nursing & Medicine               |
| C12 | A        | Med / Psych Diagnosis     | 1.1      | Medicine & Dentistry             |
| C13 | A        | Med & Tech                | 1.1      | Medicine & Dentistry             |

|     |   |                           |      |                           |
|-----|---|---------------------------|------|---------------------------|
| C14 | A | Non Surg - Medical        | 1.1  | Medicine & Dentistry      |
| C15 | A | Ambulance Officers        | 1.2  | Nursing & Medicine        |
| C21 | A | Social Work / Care        | 1.3  | Health & Social Care      |
| C21 | A | Childcare                 | 1.5  | Childcare                 |
| C31 | A | Cleaning, Ward Aux        | 1.2  | Nursing & Medicine        |
| C32 | A | Hair & Cosmetics          | 7.3  | Service Enterprise        |
| C33 | A | Housekeeping/ Dom Help    | 1.2  | Health & Social Care      |
| C91 | A | Management Adv Training   | 0    | N/A                       |
| D11 | A | Retailing                 | 7.1  | Retailing & Wholesaling   |
| D12 | A | Marketing / Advertising   | 15.4 | Marketing & Sales         |
| D13 | A | Storage Warehousing       | 7.2  | Warehousing, Distribution |
| D91 | A | Management Adv Training   | 0    | N/A                       |
| E11 | A | Science & Maths           | 2.1  | Science                   |
| E12 | A | Scientific & Technician   | 2.1  | Science                   |
| E13 | A | Dietetics & Nutrition     | 1.3  | Health & Social Care      |
| E14 | A | Env. & Public Health      | 1.3  | Health & Social Care      |
| E91 | A | Management / Adv Training | 0    | N/A                       |
| F11 | B | Food Prep & Cooking       | 7.4  | Hospitality & Catering    |
| F12 | B | Food Service              | 7.4  | Hospitality & Catering    |
| F13 | B | Hotel / Inn Keeping       | 7.4  | Hospitality & Catering    |
| F91 | B | Management Adv Training   | 0    | N/A                       |
| G11 | B | Agriculture               | 3.1  | Agriculture               |
| G12 | B | Horticulture, Gardening   | 3.2  | Horticulture, Forestry    |
| G13 | B | Forestry                  | 3.2  | Horticulture, Forestry    |
| G14 | B | Veterinary                | 3.3  | Animal Care, Vet Science  |
| G91 | B | Management / Adv Training | 0    | N/A                       |
| H11 | A | Fishing                   | 3.1  | Agriculture               |

|     |   |                             |     |                                 |
|-----|---|-----------------------------|-----|---------------------------------|
| H91 | A | Management / Adv Training   | 0   | N/A                             |
| J11 | A | Transport Operations        | 4.3 | Transport Ops & Maintenance     |
| J91 | A | Management / Adv Training   | 0   | N/A                             |
| K11 | B | Design, Surveying & Val     | 5.2 | Building & Construction         |
| K12 | B | Civil Engineering / Constrn | 5.2 | Building & Construction         |
| K13 | B | Building Brick/Pav/Stone    | 5.2 | Building & Construction         |
| K14 | B | Building/Plumb/Heat/Refrig  | 5.2 | Building & Construction         |
| K15 | B | Building Wood/Glaz/ etc     | 5.2 | Building & Construction         |
| K91 | B | Management Adv Training     | 0   | N/A                             |
| L11 | A | Mining / Oil Extraction     | 0   | N/A                             |
| L91 | A | Management / Adv Training   | 0   | N/A                             |
| P11 | B | Motor Vehicle Repair        | 5   | Transport Ops & Maintenance     |
| P91 | B | Management Adv Training     | 0   | N/A                             |
| R11 | B | Printing / Book Production  | 9.4 | Publishing, Information Science |
| R91 | B | Management Adv Training     | 0   | N/A                             |
| T11 | A | Security                    | 1.4 | Public Services                 |
| T91 | A | Management / Adv Training   |     | NA                              |
| W11 | A | Processing                  | 4.2 | Manufacturing Technologies      |
| X11 | B | Mechanical Engineering      | 4.1 | Engineering                     |
| X12 | B | Electrical Engineering      | 4.1 | Engineering                     |
| X13 | B | Electronic Engineering      | 4.1 | Engineering                     |
| X14 | B | Planning & Qual Cntrl Eng   | 4.1 | Engineering                     |
| X91 | B | Management Adv Training     | 0   | N/A                             |
|     |   |                             | 3.4 | Environmental Conservation      |
|     |   |                             | 3.4 | Environmental Conservation      |
|     |   |                             | 5.1 | Architecture                    |
|     |   |                             | 5.3 | Urban, Rural, Reg Planning      |



- 8.2 Travel & Tourism
- 9.3 Media & Communication
- 10.1 History
- 10.2 Archaeology / Archaeological Science
- 10.3 Philosophy
- 10.4 Theology & Religious Studies
- 11.1 Geography
- 11.2 Sociology & Social Policy
- 12.1 Lang, Lit & Culture of British Isles
- 12.3 Linguistics
- 13.2 Direct Learning Support
- 14.1 Foundations for Learning & Life
- 14.2 Preparation for Work
- 15.5 Law & Legal Services





## Annex 14

### Northern Ireland European Social Fund Programme 2007 - 2013

#### Participant Enrolment Form (Priority 1 Unemployed or Inactive)

#### Training for Success

##### 1. GENERAL DETAILS

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Post Code: \_\_\_\_\_ Tel. No: \_\_\_\_\_

Date of Birth  Your age today

Are you: Male  Female

##### 2. PERSONAL DETAILS

Annex 23 of Commission Regulation (EC) No 1828/2006 requires specific information to be collected on each individual that participates in the Northern Ireland ESF Programme. Some of the required information is included in this section.

**Which one of the following groups do you consider you belong to?**

White  Black African  Bangladeshi   
Chinese  Black Caribbean  Pakistani   
Indian  Black Other  Irish Traveller   
Mixed Ethnic Group  Other Ethnic Group

The above information will also be used to report to the European Commission on the number of participants from minority groups participating in the programme. For the purposes of the NI ESF Programme a 'minority group' is defined as belonging to any of the above Groupings with the exception of the White grouping (Section 75 of the Northern Ireland Act 1998 – Department for Employment and Learning Equality scheme).

**Do you belong to any of the following groups?**

Lone parent  Migrant  Other disadvantaged

**Lone Parents:** Any lone parent with dependant children (children aged under 16 and those aged 16-18 who have never married and are in full-time education).

**Migrants:** A migrant is someone from outside the UK and Ireland who is resident here for a period of at least 12 months (one year).

**Other disadvantaged:** This can include, for example drug and alcohol misusers or ex-prisoners.

**Do you have a disability or health condition?**

Yes  No

**Disability and health condition** refers to participants who have a current disability covered by the 1995 Disability Discrimination Act, defined as a disabled person as someone who has a physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities.

**National Insurance Number:**

**Length of time out of work**

**Please tick the relevant box to indicate which of the following describes your economic status prior to starting the project:**

- **Inactive but in education or training?**
- **Unemployed?**
- **Inactive but not in education or training?**

**Inactive in education and training** – refers to undertaking either education or training prior to starting. This category includes those who start during the week commencing the first Monday in September. If you leave school in June you are not eligible to claim Jobseeker's Allowance until the first Monday in September so up until then you would still be considered to be in education or training.

**Unemployed** – refers to not working but are looking for work prior to starting. This category excludes those school leavers who start training during the week commencing the first Monday in September.

**Inactive not in education and training** – refers to those who were not looking for work prior to starting due to for example illness or a family commitment.

**How long have you been out of work?:**

Less than 6 months  6 – 11 months   
12 – 23 months  24 + months

Are you a new entrant to the labour market? Yes  No

**New Entrants:** Those who have never worked in a full time permanent position and who have never looked for such a position, for example school leavers.

Are you a returner to the labour market? Yes  No

**Returners:** Those who have worked in the past but who were absent from the labour market, not working and not looking for work, for a period of time for any reason, for example sickness or training.

### Qualifications

What is the highest qualification (or equivalent) that you hold?

Below NVQ Level 1  NVQ Level 1  NVQ Level 2

NVQ Level 3  NVQ Level 4  No qualifications

Other - please detail

Please tick one of the boxes to show the highest level qualification you have. The qualification you have received may be equivalent to a specific NVQ level. Use the table at the end of this Enrolment form to find out the level of your qualification.

### 3. PARTICIPANT DECLARATION

I declare that the details given on this form are true to the best of my knowledge.

Signed \_\_\_\_\_ Date \_\_\_\_\_

# Equality Monitoring

The following data is also captured in respect of the Department for Employment & Learning equality monitoring policy. Completion of information is voluntary - Personal details will be treated in strict confidence and the information provided will **NOT** be used for any purpose other than the monitoring described above.

## What is your Marital Status?

- Divorced  Partner  Married  Living with
- Separated  Widowed  Single
- Not Stated

## Number of dependants?

If applicable, please list below.

| Name  | Date of Birth | Age   | Sex   |
|-------|---------------|-------|-------|
| _____ | _____         | _____ | _____ |
| _____ | _____         | _____ | _____ |
| _____ | _____         | _____ | _____ |
| _____ | _____         | _____ | _____ |

## What is your religious affiliation?

- Roman Catholic  Protestant
- Other  Unknown/Refused

## My sexual orientation is towards someone:

- Of the same sex  Of the opposite sex  Of the same sex and of the opposite sex

## GUIDANCE NOTE

### 1. GENERAL DETAILS

Please include the following details.

- Your name, address, postcode and telephone number.
- Your date of birth and age.
- Your gender
- Your participation on any other ESF funded courses in the last 3 years.

### 2. PERSONAL DETAILS

Annex 23 of Commission Regulation (EC) No 1828/2006 requires specific information to be collected on each individual that participates in the Northern Ireland ESF Programme. Some of the required information is included in this section.

#### **Which one of the following groups do you consider you belong to?**

Please tick the box the relevant box to indicate which groups you feel you belong to.

- White
- Black African
- Black Caribbean
- Black Other
- Bangladeshi
- Chinese
- Pakistani
- Indian
- Irish Traveller
- Mixed Ethnic Group
- Other Ethnic Group

(Section 75 of the Northern Ireland Act 1998 – Department for Employment and Learning scheme)

#### **Do you belong to any of the following groups?**

Please tick relevant box if you feel you belong to any of the following groupings;

**Lone Parents:** Any lone parent with dependant children (children aged under 16 and those aged 16-18 who have never married and are in full-time education).

**Migrants:** A migrant is someone from outside the UK and Ireland who is resident here for a period of at least 12 months (one year).

**Other disadvantaged:** This can include, for example drug and alcohol misusers or ex-prisoners.

#### **Do you have a disability and health condition?**

Please tick relevant box to indicate if you have a disability or health condition.

Disability and health condition refers to participants who have a current disability covered by the 1995 Disability Discrimination Act, defined as a disabled person as someone who has a physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities.

## **National Insurance Number**

Please insert your National Insurance Number.

## **Length of time out of work**

Please tick the relevant box to indicate which of the following describes your economic status prior to starting the project:

- **Unemployed** – Please tick if you were not working but were looking for work before entering the ESF Project.
- **Inactive in education and training** – Please tick if you were undertaking either education or training in the week prior to starting the project.
- **Inactive not in education and training** – Please tick if you were in retirement, self-employment/business, sick or disabled, fulfilling domestic tasks/looking after home and family in the week prior to starting the project.

## **Are you a new entrant to the labour market?**

New Entrants are those who have never worked in a full time permanent position and who have never looked for such a position, for example school leavers.

## **Are you a returner to the labour market?**

Returners are those who have worked in the past but who were absent from the labour market, not working and not looking for work, for a period of time for any reason, for example sickness or training.

## Qualifications

### What is the highest qualification (or equivalent) that you hold?

Please tick one of the boxes to show the highest level qualification you have. The qualification you have received may be equivalent to a specific NVQ level. Use the table at the end of this Guidance Note to find out the level of your qualification.

### ACADEMIC/VOCATIONAL QUALIFICATION LEVELS

| Level                      | Academic NVQ qualification name  | Vocational qualification name   |
|----------------------------|--|---|
| <b>Non-NVQ<br/>Level 0</b> | <b>RSA Word Power</b><br>RSA Number Power<br>CLAIT   |   |
| <b>Level 1</b>             | GCSE/SCE/O-level grades below C (or fewer than 5 at grades A-C) CSE grades below 1<br>1 AS level | <b>BTEC/SCOTBTEC/SQA - First Certificate</b><br>BEC/SCOTBEC – General Certificate/Diploma<br>City & Guilds – Operative Awards<br>CPVE - Year 1 (Technician)<br>LCCI/RSA/PEI – Elementary/First Level<br>RSA – Vocational Certificate<br>Foundation GNVQ/GSVQ<br>NVQ/SVQ Level 1   |
| <b>Level 2</b>             | 5 or more GCSE/SCE/O-level grades at A-C CSE grade 1<br>1 A level pass<br>2 or 3 AS levels       | BTEC/SCOTVEC/SQA – First diploma<br>BEC/SCOTBEC/BTEC/SCOTVEC/SQA General Certificate/Diploma <i>with Credit</i><br>City & Guilds – Higher Operative/craft<br>LCCI – Certificate/ Second level<br>PEI - Stage 2<br>Pitmans – Intermediate Level 2 Diploma Certificate<br>RSA – Diploma<br>Intermediate GNVQ/GSVQ<br>NVQ/SVQ Level 2<br>ECDL                            |
| <b>Level 3</b>             | 2 or more A level passes 4 or more AS Levels   | BEC/SCOTBEC BTEC/ SCOTVEC/SQA - National OND/O<br>TEC/SCOTEC – Certificate/Diploma<br>City & Guilds – Advanced Craft<br>LCCI - Third Level Diploma<br>Pitmans – Level 3 Advanced Higher Certificate<br>RSA - Stage 3 Advanced Diploma<br>Advanced GNVQ/GSVQ<br>Access to Higher Education Courses<br>Advanced awards in ESOL and foreign languages<br>NVQ/SVQ Level 3 |
| <b>Level 4</b>             | Teaching qualifications (including PGCE) First degree  | BEC/SCOTBEC/ BTEC/ SCOTVEC/SQA – HND/HNC<br>TEC/SCOTEC – Higher Certificate/Diploma<br>LCCI – Advanced level<br>RSA - Advanced Certificate/Higher Diploma<br>Diploma in Higher Education<br>Nursing (SRN)<br>Certificate in Higher Education<br>NVQ/SVQ Level 4   |

### 3. PARTICIPANT DECLARATION

Ensure that you sign and date the Enrolment Form.

## FUNDING GROUPS

|   |
|---|
| <p><b>Group 1</b></p> <ul style="list-style-type: none"> <li>• Administration</li> <li>• Finance and Law</li> <li>• Retailing</li> </ul>  |
| <p><b>Group 2</b></p> <ul style="list-style-type: none"> <li>• Business Studies</li> <li>• General Computing, Familiarisation and Data Processing</li> <li>• Leisure</li> <li>• Marketing and Advertising</li> <li>• Transport Operations</li> </ul>  |
| <p><b>Group 3</b></p> <ul style="list-style-type: none"> <li>• Fishing</li> <li>• Hair and Cosmetics</li> <li>• Processing</li> <li>• Social Work and Care for Specialist Groups</li> <li>• Storage/Warehousing</li> </ul>  |
| <p><b>Group 4</b></p> <ul style="list-style-type: none"> <li>• Agriculture</li> <li>• Computer Science</li> <li>• Food Preparation and Cooking</li> <li>• Food Service</li> <li>• Horticulture</li> <li>• Hotel/Inn Keeping</li> <li>• Management and Advanced Training</li> <li>• Veterinary</li> </ul>              |
| <p><b>Group 5</b></p> <ul style="list-style-type: none"> <li>• Building Trades: Brick, Paving, Stone</li> <li>• Building Trades: Wood, Glazing, Plain, Plaster, Tile</li> <li>• Civil Engineering and Construction</li> <li>• Motor Vehicle Repair and Maintenance</li> <li>• Printing and Book Production</li> </ul> |
| <p><b>Group 6</b></p> <ul style="list-style-type: none"> <li>• Electrical Engineering</li> <li>• Electronic Engineering</li> <li>• Mechanical Engineering</li> <li>• Plumbing, Heating &amp; Ventilation, Refrigeration</li> </ul>  |



## DISABILITY / SPECIAL NEEDS CODES

| Code | Disability Category                         |
|------|---|
| 21   | VISUAL ('L')                                |
| 22   | PHYSICAL / MOBILITY ('M')                   |
| 23   | HEARING ('N')                               |
| 24   | LEARNING ('P')                              |
| 25   | MENTAL HEALTH ('Q')                         |
| 26   | HIDDEN / OTHERS (E.G. SPEECH / HEART) ('R') |

| Code | Special Needs Categories       |
|------|--------------------------------|
| 1    | LITERACY PROBLEMS              |
| 2    | NUMERACY PROBLEMS              |
| 3    | LITERACY AND NUMERACY PROBLEMS |
| 4    | LINGUISTIC PROBLEMS            |
| 5    | BEHAVIOURAL PROBLEMS           |
| 6    | SERIOUS BEHAVIOURAL PROBLEMS   |
| 7    | LACKING MOTIVATION             |
| 8    | IN CARE BACKGROUND             |
| 20   | DYSLEXIA                       |
| 0    | OTHER                          |



## Specialist Support Claim

Please use CAPITAL letters and complete the appropriate boxes

### **PART A (To be Completed by the Supplier)**

Name of Supplier \_\_\_\_\_

Supplier Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Specialist Support Provider Name \_\_\_\_\_

Address \_\_\_\_\_

Date Participant Started Training \_\_\_\_\_ Client ID Number \_\_\_\_\_

Disabled Yes / NO

Nature of Disability \_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_

### **PART B (To be Completed by the Specialist Support Provider)**

Brief Description of Services Delivered Week Commencing \_\_\_\_\_

---

---

---

No. of Hours Specialist Support Delivered \_\_\_\_\_

Weekly Cost of Services Provided \_\_\_\_\_

Signed \_\_\_\_\_

Date \_\_\_\_\_

**COMPLETED CLAIMS SHOULD BE RETAINED BY THE SUPPLIER FOR  
INSPECTION BY THE DEPARTMENT for EMPLOYMENT and LEARNING**

**APPLICATION FOR ASSISTANCE TOWARDS CHILDCARE PAYMENTS**

- Please read the notes on the back page before completing this form.

**To be completed by THE PARTICIPANT**

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Tel No: \_\_\_\_\_

| Details of child(ren) you are applying for |         |               |                                     |
|--|---------|---------------|-------------------------------------|
| Forename                                   | Surname | Date of Birth | In Full-time Education<br>(Yes/No)? |
|  |         |               |                                     |
|  |         |               |                                     |
|  |         |               |                                     |
|  |         |               |                                     |

Are you:

- The mother?                     
  The father?                     
  The person having parental responsibility

National Insurance Number      

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

***Declaration***

I declare that:  
(Tick where appropriate)

- I am a parent/person having parental responsibility for the above named child(ren) who is/are my dependants and live with me at the above address.

- I am a *Training for Success* participant whose partner is also on *Training for Success*, non-employed status Jobskills provision, or other Departmental training programme where Benefit Based Training Allowance or EMA is being paid.
- I am a *Training for Success* participant whose partner is in receipt of one or more of the qualifying benefits: listed in Section F.
- I am unable to make childcare arrangements other than on a fee-paying basis.
- The information which I have given is correct and complete. I understand that it may be checked by the Department and I do not have any objections to enquiries being made through the Social Security Agency.

Signed \_\_\_\_\_ Date \_\_\_\_\_

**Disclaimer** The choice of childminder is the sole responsibility of the parent/person having parental responsibility. The Department does not accept responsibility for any risks or accidents that might arise when a child is in the care of a Registered Childminder or Other Carer.



**To be completed by THE CHILDMINDER**

Childminder's Name: \_\_\_\_\_

National Insurance Number: 

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

Address: \_\_\_\_\_

\_\_\_\_\_ Postcode: \_\_\_\_\_

Tel No: \_\_\_\_\_

Spouse/Partner: \_\_\_\_\_

National Insurance Number: 

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

## Declaration

I declare that:  
(Tick where appropriate)

- I am a registered childminder/crèche/nursery with a Health & Social Services Board and I enclose a copy of my Registered Childminders Certificate.
- I am an Adult relative of the child(ren) \_\_\_\_\_  
(Please state clearly your relationship)
- I am willing to care for the child(ren) named at a cost of £ per hour/day.
- I agree to provide a statement of the weekly hours involved.
- I agree that this information can be made available to the Social Security Agency.

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name (CAPITAL letters):** \_\_\_\_\_

**Note:** Where more than one childminder is used, please attach details of additional provider(s).

**To be completed by THE SOCIAL SECURITY OFFICE/  
JOBS AND BENEFITS OFFICE**

According to our records \_\_\_\_\_ (Full Name)

1. Is a Parent/Person having Parental responsibility; or
2. a *Training for Success* participant whose partner is also on *Training for Success* provision, non-employed status Jobskills provision, or other Departmental training programme where Benefit-Based Training Allowance or EMA is being paid; or
3. a *Training for Success* participant whose partner is in receipt of one or more of the qualifying benefits listed in Section F and is claiming for child(ren) under 15 years of age.

SOCIAL SECURITY OFFICE/JOBS AND BENEFITS OFFICE stamp:



## To be completed by the SUPPLIER

I have confirmed the applicant to be:

- a) Parent/person\* on a *Training for Success* Provision; or
- b) Parent/person\* who is unemployed and in receipt of Jobseeker's Allowance (Income Based) or Income Support; or
- c) a *Training for Success* participant whose spouse/partner is also on *Training for Success*, non-employed status on a Jobskills course, or other Departmental training programme where Benefit Based Training Allowance or EMA is being paid; or
- d) a *Training for Success* participant whose partner is in receipt of one or more of the qualifying benefits listed in Section F

and is eligible to join *Training for Success*

(\* includes person having parental responsibility)

\* I approve (where costs are up to £50 per week) payment of childcare costs.

\* I apply (where costs are in excess of £50 per week) for approval to pay childcare costs on the basis of Section B

I enclose a copy of the Registered Childminder's certificate (where appropriate)

I confirm that the applicant's child(ren) is/are eligible for childcare payments

\* Delete as appropriate.

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name (CAPITAL letters):** \_\_\_\_\_

Supplier stamp:

**To be completed by TRAINING PROGRAMMES BRANCH**  
**(Where costs are in excess of £50 per week)**

\* Delete as appropriate.

To: **Supplier**

\* Approval is given for the payment of childcare costs of £\_\_\_\_\_ to:

Name of applicant: \_\_\_\_\_

- While she/he is participating in *Training for Success*; or
- is a *Training for Success* participant whose spouse/partner is also on *Training for Success*, non-employed status on a Jobskills course, or other Departmental training programme where Benefit Based Training Allowance or EMA is being paid; or
- is a *Training for Success* participant whose partner is in receipt of one or more of the qualifying benefits listed in Section F.

Payments will be made to \_\_\_\_\_ as follows:  
**(Name of childminder)**

| Rate per Hour (£) | Name of Child | Age of C |
|-------------------|---------------|----------|
|                   |               |          |
|                   |               |          |
|                   |               |          |

Approval has not been given because: \_\_\_\_\_

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name: (CAPITAL letters)** \_\_\_\_\_



## WHO QUALIFIES?

Participants with parental responsibility may qualify while attending *Training for Success*; or

Parent/person\* who is unemployed and in receipt of Jobseeker's Allowance (Income Based) or Income Support; or

- a *Training for Success* participant whose partner is also on *Training for Success*, non-employed status Jobskills provision, or other Departmental training programme where Benefit Based Training Allowance or EMA is being paid; or
- a *Training for Success* participant whose partner is in receipt of one or more of the following qualifying benefits:
  - Attendance Allowance (AA);
  - Constant Attendance Allowance;
  - Disability Living Allowance (DLA);
  - Disability or Higher Premium Pension;
  - Incapacity Benefit (IB) where the rate payable is short-term higher rate or long term lower rate; or
  - Severe Disablement Allowance (SDA)
- You pay for your child(ren) to be cared for by a childminder, crèche or nursery registered with a Health and Social Services Board, or
- you pay for your child(ren) to be cared for by a relative over 18, i.e. grandparent, brother or sister, aunt or uncle of your child(ren).

and eligible to join *Training for Success*.

## What can be paid?

If your application is successful, the Department will pay:

- a contribution towards the childminding costs up to a maximum of £95 per week for one child and up to £140 per week for two or more children, if a Registered Childminder, crèche or nursery registered with a Health & Social Services Board looks after your child(ren) full-time. Up to a maximum of £55 per week for one child and up to £85 per week for two or more children of school age, where care is provided by a Registered Childminder out of school hours;
- or
- a contribution towards your childminding costs up to a maximum of £55 per week for one child and up to £85 per week for two or more children, being cared for by a relative of your child(ren) who looks after your child(ren) full-time. Up to a maximum of £35 per week for one child of school age and £55 per week for two or more children is payable where care is provided by a relative out of school hours;

- the maximum amount of childcare payable is subject to a limit of £140 per week per family where care is provided by a Registered Childminder/nursery/crèche or £85 per week per family where care is provided by a relative;
- the contribution to childcare costs will be reduced on a pro-rata basis if the participant is not attending *Training for Success* 5 days per week;
- the maximum amount of childcare payable is subject to an overall limit of £140 per week per family, where care is provided by a mixture of childminder/nursery/crèche and relative(s).

### **How will payments be made?**

- Payments will be made directly to your childminder – your childminder will be expected to give regular statements to the Supplier confirming the child(ren)'s attendance and the fee charged.

### **How do I apply?**

If you think you qualify for childcare payments, make arrangements for the care of your child(ren).

**DO NOT enter into any firm agreement until your application has been approved.** Complete sections A & B of this application form, have your Social Security Office/Jobs and Benefits Office complete section C and give the form, along with the birth certificate(s) of your child(ren) to the Supplier offering you training. The Supplier will advise you if your application has been successful. If it has, arrangements will be made for you to start training as soon as possible.



## TRAINING FOR SUCCESS: CHANGE OF OCCUPATIONAL AREA

**Please use CAPITAL letters**

Name of Supplier: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ Postcode: \_\_\_\_\_

Name of Participant: \_\_\_\_\_

Date of Birth: 

|  |  |  |
|--|--|--|
|  |  |  |
|--|--|--|

NI NO: 

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

Reason for change: \_\_\_\_\_

Client ID No: \_\_\_\_\_

The above-named participant(s) in Pre-Apprenticeship has chosen to change occupational area

From:

Agreed occupational area \_\_\_\_\_

To:

Revised occupational area \_\_\_\_\_

Date of Change \_\_\_\_\_

NVQ Reference No (where appropriate) \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Name: (CAPITAL letters) \_\_\_\_\_  
(Authorised person within the Organisation)

**Please send the completed form to your local JobCentre/Jobs and Benefits Office/Careers Office**

---

### FOR JOBCENTRE/JOBS AND BENEFITS OFFICE/CAREERS OFFICE USE

Training Credit Issued Yes/No\*

If No, please state reason why: \_\_\_\_\_

If Yes, training entitlement given (weeks): \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Careers Adviser)

Name: (CAPITAL letters) \_\_\_\_\_

JobCentre/Jobs and Benefits Office/Careers Office \_\_\_\_\_

\* Delete as Appropriate

## BANK DETAILS AND AUTHORISED SIGNATORIES

Please use CAPITAL letters

**Supplier Details:**

Name of Supplier: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Postcode: \_\_\_\_\_

Start date of provision: \_\_\_\_\_

**Details of Bank Account** (to which payments are to be made):

Name of Bank: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Postcode: \_\_\_\_\_

Account No:

Account Name: \_\_\_\_\_

Bank Sort Code:

**Authorised signatories:**

I \_\_\_\_\_ (name CAPITAL letters) authorise the following to sign *ApprenticeshipsNI* forms on my behalf. Their signatures are binding on this supplier.

| Name | Position | Specimen signature |
|------|----------|--------------------|
|      |          |                    |
|      |          |                    |
|      |          |                    |
|      |          |                    |
|      |          |                    |
|      |          |                    |

Signed: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

Declaration by Supplier: I declare that the information given is correct and any changes will be notified.

Signed: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

Name (CAPITAL letters): \_\_\_\_\_

Please send the completed form to: Department for Employment & Learning, Supplier Services Branch, 1<sup>st</sup> Floor, 61 Fountain Street, BELFAST, BT1 5EX.

## TRAINING FOR SUCCESS WORK PLACEMENT ATTENDANCE RECORD

TfS 7A

Name of Supplier: \_\_\_\_\_

Participant Name: \_\_\_\_\_

Work Placement Provider Name: \_\_\_\_\_

Placement Address: \_\_\_\_\_

Attendance for Week Commencing Monday: \_\_\_\_\_

| Day                       | Att Code | Start Time | Lunch | Finish Time | Hours Worked | Comments |
|---------------------------|----------|------------|-------|-------------|--------------|----------|
| Monday                    |          |            |       |             |              |          |
| Tuesday                   |          |            |       |             |              |          |
| Wednesday                 |          |            |       |             |              |          |
| Thursday                  |          |            |       |             |              |          |
| Friday                    |          |            |       |             |              |          |
| Saturday                  |          |            |       |             |              |          |
| Sunday                    |          |            |       |             |              |          |
| <b>Total Hours Worked</b> |          |            |       |             |              |          |

**Attendance codes** (Codes must be used – ‘ticks’ are not acceptable):

**P** = Attended                      **U** = Unauthorised Absence  
**AA** = Authorised Absence      **S** = Certified Sick  
**PH** = Bank Holiday

**Placement Provider Stamp**

I confirm that the attendance above is correct

Participant Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Work Placement Provider Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name in full & Position in Company (*Print*): \_\_\_\_\_

**FAILURE TO RETURN THESE RECORDS ON TIME WILL RESULT IN DELAYS**  
**IN PAYMENT OF ANY ALLOWANCES DUE**

*For Office use only*

|                           |  |
|---------------------------|--|
| <b><u>Checked By</u></b>  |  |
| <b><u>Verified By</u></b> |  |
| <b><u>Date</u></b>        |  |





## CERTIFICATION OF SUSTAINED EMPLOYMENT

### A – This section must be completed by the Employer

NAME OF EMPLOYEE (CAPITAL letters) \_\_\_\_\_

NATIONAL INSURANCE NUMBER \_\_\_\_\_

#### Declaration:

This is to certify that the above named person started employment on \_\_\_\_\_  
(date of start) working 16 hours or more per week with:

Employer Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_ Post Code \_\_\_\_\_

Telephone Number \_\_\_\_\_ Mobile number \_\_\_\_\_

and (complete as appropriate):

is still in employment \_\_\_\_\_ (enter Yes/No)

has left employment on \_\_\_\_\_ (date of leaving)

I consent to the Department for Employment and Learning having access to any relevant business records, to verify that the above named employee was in my employment during the period specified.

Signed \_\_\_\_\_ \*Employer/Manager/Supervisor

(delete as appropriate)

Name (CAPITAL letters) \_\_\_\_\_ Date \_\_\_\_\_

### B – To be completed by Supplier:

Name of Supplier \_\_\_\_\_

#### Declaration:

I certify that \_\_\_\_\_, Participant ID Number \_\_\_\_\_:

- commenced the *Training for Success* on \_\_\_\_\_ (date per TMS);
- obtained employment after at least 13 weeks following commencement as a *Training for Success* participant,
- the employment was sustained for at least a continuous 13 week period immediately on leaving the *Training for Success* provision on \_\_\_\_\_ (date per TMS); and
- the above information is true and accurate.

Signed \_\_\_\_\_ (on behalf of TO) Date \_\_\_\_\_

(Authorised Person within the Organisation)

Name (CAPITAL letters) \_\_\_\_\_ Position \_\_\_\_\_

For Official Use: Checked and CMS actioned by \_\_\_\_\_ Date \_\_\_\_\_

## GUIDELINES FOR THE COMPLETION AND SUBMISSION OF THE CERTIFICATION OF SUSTAINED EMPLOYMENT OUTCOME FORM TfS 9 (Rev July 2009)

Suppliers **must** comply with the following guidelines when completing and submitting the 'Certification of Sustained Employment Outcome' form TfS 9, to Supplier Services Branch.

### 1. COMPLETION OF FORM TfS 9

- (a) **Completed details on form TfS 9 must be original. Faxed or photocopied information will not be accepted by Supplier Services Branch**
- (b) amendments and corrections to details on form TfS 9 will not be accepted;
- (c) all sections of the form must be properly and accurately completed, signed and dated. Suppliers are reminded that they should only complete Section B of the form after the Employer has completed Section A;
  - **Under no circumstances should a Supplier complete Section A of the form on behalf of the Employer.**
  - **The Supplier must pass a blank form to the Employer to complete the details in Section A, sign and date the Declaration.**
  - **The form must then be returned to the Supplier for completion of Section B.**
- (d) the signature on behalf of the Supplier in [Section B] must be that of a duly authorised person within the organisation, and in accordance with the authorised signatories detailed in the 'Bank Details and Authorised Signatories' form TfS 6 forwarded to Supplier Services Branch;
- (e) where applicable, the form must be completed in respect of a progression to the Level 2 / Level 3 Apprenticeship component. This is subject to the employment being obtained after at least 13 weeks as a participant from commencement in *Training for Success* and **sustained** for a continuous 13 week period **immediately** after the person has left the *Training for Success* component;
- (f) where a participant completes his/her time in *Training for Success* and progresses to employment, there must not be a break between the date the participant leaves *Training for Success* [as shown by the Supplier in Section B of the form] and the date of commencing employment [as shown by the Employer in *Section A*].
- (g) Suppliers should note that the actual date of leaving/progressing as recorded in TMS should correspond with the date of leaving *Training for Success* as shown by the Supplier in Section B of the form; Again; **at least 13 weeks** participation from commencement of *Training for Success* participation, must have been completed **before** the participant's actual date of leaving.
- (h) Section A of the form must only be completed by the Employer **after** expiry of the 13 week continuous period of sustained employment immediately following the participant's actual date of leaving *Training for Success*; and



- (i) The Supplier must ensure that the Employer maintains an appropriate record of the wages paid to the employee named in Section A during the 13 week period of sustained employment and this record must be retained for Inspection purposes.

## 2. SUBMISSION OF FORM TfS 9

- (a) Completed form TfS 9 must be submitted (via post/by hand) to Supplier Services Branch on the same day as the request for approval to claim Employment ORF is e-mailed from TMS to CMS;
- (b) **the form should be submitted to a contact in Supplier Services Branch, i.e. the person who normally processes the Supplier's claim or has signed the letter issued to the Supplier following a check of the previous claim; and**
- (c) where it is necessary for a form to be returned to a Supplier by Supplier Services Branch, it is essential that, for the purpose of requesting payment of Employment ORF, **the form must be resubmitted or a fresh form submitted where appropriate within the 7 claim periods** immediately following the period in which the person left the programme.



## ENFORCED INTERRUPTION TO TRAINING FORM

To: \_\_\_\_\_ JobCentre/Jobs and Benefits Office/Careers Office

Participant Name (Print): \_\_\_\_\_ D.O.B: \_\_\_/\_\_\_/\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Postcode: \_\_\_\_\_

\*(1) This Supplier has made every effort to find a suitable, alternative placement for the above named participant, without success.

\*(2) The above participant has had an enforced interruption to training due to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Therefore, training will be suspended with effect from \_\_\_/\_\_\_/\_\_\_ (date) and is expected to resume on \_\_\_/\_\_\_/\_\_\_ (date).

\* Delete as appropriate

Signed: \_\_\_\_\_  
(Supplier Authorised Signatory)

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

Supplier: \_\_\_\_\_

To: Training Programmes Branch

The participant's record has been noted accordingly.

Signed: \_\_\_\_\_

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

Name (Print): \_\_\_\_\_

JobCentre/Jobs and Benefits Office/Careers Office: \_\_\_\_\_

## RESUMPTION TO TRAINING FOLLOWING ENFORCED INTERRUPTION

To: \_\_\_\_\_ JobCentre/ Jobs and Benefits Office / Careers Office

Participant Name (Print): \_\_\_\_\_ D.O.B: \_\_\_/\_\_\_/\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ Postcode: \_\_\_\_\_

This Supplier notified you on Form A dated \_\_\_/\_\_\_/\_\_\_ that the above named participant was expected to resume training on \_\_\_/\_\_\_/\_\_\_ following an enforced interruption due to \_\_\_\_\_

---

He / she resumed training today \_\_\_/\_\_\_/\_\_\_ (date).

Taking account of the balance of training period due, the revised expected end date has been calculated as \_\_\_/\_\_\_/\_\_\_ (date).

Signed: \_\_\_\_\_  
(Supplier Authorised Signatory)

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

Supplier: \_\_\_\_\_

To: Training Programmes Branch

The above named participant's revised expected end date is confirmed as \_\_\_/\_\_\_/\_\_\_ (date).

Signed: \_\_\_\_\_

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

Name (Print): \_\_\_\_\_

JobCentre/ Jobs and Benefits Office / Careers Office: \_\_\_\_\_

**TRAVEL EXPENSES CLAIM** (Only to be completed if amount to be claimed is over £50)

Please use **CAPITAL** letters

**TfS 13**

**PART 1 To be completed by the Supplier**

Name of Supplier \_\_\_\_\_

Supplier Address \_\_\_\_\_

Address \_\_\_\_\_ Postcode \_\_\_\_\_

Work Placement Name \_\_\_\_\_

Work Placement Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Date participant started training or commenced work placement \_\_\_\_\_

**PART 2 To be completed by the Supplier**

Is this a first claim? YES / NO

Is this a change in circumstances? YES / NO

If a change in circumstances, please state:

Date of change \_\_\_\_\_ Reason for change \_\_\_\_\_

**PART 3 To be completed by the Supplier**

Participant's name \_\_\_\_\_ Client ID Number \_\_\_\_\_

Home Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Reasons why travel expenses are being claimed \_\_\_\_\_

\_\_\_\_\_

(If taxi is being used, please enclose three quotations for the taxi)

Please give details of the participant's journey to and from his/her training location / work placement.

|     | Actual Start | Actual Finish | Journey Details |
|-----|--------------|---------------|-----------------|
| Day |              |               |                 |
| Day |              |               |                 |
| Day |              |               |                 |
| Day |              |               |                 |
| Day |              |               |                 |

Weekly cost £ \_\_\_\_\_

Daily cost (if weekly ticket is not available) £ \_\_\_\_\_

**Part 4 To be Completed by Participant**

TfS 13

**Declaration by the participant**

I declare that the details about my transport are correct and that the amount shown is the cost of travel between my home and place of training. I agree to notify the supplier of any change in my travelling arrangements. I understand that this information may be checked by the Department for Employment and Learning.

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(Participant)

**Part 5 To be completed by the Supplier**

Verified expenses £ \_\_\_\_\_  
Less Participant contribution £ 3.00  
Less Standard rate (£3 / £5 / £9) £ \_\_\_\_\_  
Weekly amount approved £ \_\_\_\_\_

I declare that the travel expenses as detailed are correct. I understand that this information may be checked by the Department for Employment and Learning.

Travel expenses payable from \_\_\_\_\_ (date)

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(Authorised person within Supplier)

NAME (CAPITAL letters) \_\_\_\_\_

Position \_\_\_\_\_

**Completed claims should be retained by the Supplier for inspection by the Department for Employment and Learning.**

|                    |      |  |
|--------------------|------|--|
| For DEL office use |      |  |
| Examined by        | Date |  |
| Checked by         | Date |  |

## Application to Rejoin *Training for Success* Programme

**TfS 15**

**NOTE:** This form must be submitted to the local JobCentre/Jobs and Benefits/Careers office at the earliest opportunity preceding transfer.

From (Name of Supplier):

**To (JobCentre/Jobs and Benefits/Careers office):**

The following persons wish to rejoin *Training for Success*

| TO BE COMPLETED BY SUPPLIER |         |            |                    |               |                          |         | For Office Use |                 |                          |
|-----------------------------|---------|------------|--------------------|---------------|--------------------------|---------|----------------|-----------------|--------------------------|
| Client ID                   | Surname | First Name | Previous Programme | New Component | New Component Start Date | New SOC | New NDAQ       | Number of Weeks | New Participation Number |
|                             |         |            |                    |               |                          |         |                |                 |                          |
|                             |         |            |                    |               |                          |         |                |                 |                          |
|                             |         |            |                    |               |                          |         |                |                 |                          |
|                             |         |            |                    |               |                          |         |                |                 |                          |
|                             |         |            |                    |               |                          |         |                |                 |                          |
|                             |         |            |                    |               |                          |         |                |                 |                          |
|                             |         |            |                    |               |                          |         |                |                 |                          |
|                             |         |            |                    |               |                          |         |                |                 |                          |

Supplier Signature \_\_\_\_\_

For Office Use

Name (CAPITALS) \_\_\_\_\_

Careers Service Signature \_\_\_\_\_ (Name)

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

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

**Following Training Credit Issue - cc: Supplier/Supplier Services Branch and retain copy for JobCentre/Jobs and Benefits/Careers Office.**

## LODGING ALLOWANCE CLAIM

- Fully completed forms must be retained by the Supplier for inspection.
- The Supplier must inform the local Social Security Office/Jobs and Benefits Office of any non-employed trainee who is 18 years of age or over and is in receipt of lodging allowance.
- Please use CAPITAL letters.

### To be completed by the *Training for Success* participant

Name of Supplier \_\_\_\_\_

Name of Training Partner \_\_\_\_\_

Address \_\_\_\_\_

Name of Participant \_\_\_\_\_

Home Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Lodging Address \_\_\_\_\_

\_\_\_\_\_

The cost of return travel between my lodgings and home is £ \_\_\_\_\_

I will be staying in lodgings each week for: \_\_\_\_\_ (number) nights.

If you are age 18 or over complete the following:

Date of Birth \_\_\_\_\_ National Insurance Number

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

### Declaration

I declare that the information given above is correct and I will notify my Training Supplier at once of any change in my circumstances.

Signed \_\_\_\_\_ Date \_\_\_\_\_

**To be completed by the person providing the lodgings**

I agree to provide \_\_\_\_\_ (name) with lodgings (including breakfast and evening meal) for \_\_\_\_\_ nights each week at the cost of £ \_\_\_\_\_ (per week) whilst he/she is undergoing training.

I understand that, before I receive payment, I am required to submit invoices on a weekly basis to \_\_\_\_\_ (name of Supplier).

Signed \_\_\_\_\_ Date \_\_\_\_\_

Name (CAPITAL letters) \_\_\_\_\_



## Lodging Allowance Approval

To be completed by the Supplier

**A. Cost of Lodgings** £ \_\_\_\_\_  
Plus cost of weekend travel home (if applicable) £ \_\_\_\_\_  
**TOTAL weekly lodging allowance payable** £ \_\_\_\_\_

Date payment to commence \_\_\_\_\_

**B. Declaration by Supplier for claims up to £50 per week**

I declare that the trainee took up lodgings on \_\_\_\_\_

and that arrangements are suitable. The participant is expected to stay in lodgings until

\_\_\_\_\_

\*I also approve the total weekly lodging allowance of £ \_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(Authorised person within the Supplier)

Name (CAPITAL letters) \_\_\_\_\_

**C. Send the completed form to Training Programmes Branch for approval of claims.**

I approve the total weekly lodging allowance of £ \_\_\_\_\_ as detailed at Part A above.

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(Training Programmes Branch)

Name in BLOCK CAPITALS \_\_\_\_\_

\* Delete as appropriate