Agenda

10:35 Key funding rules and rates update for 2018/19
Nick Linford, author of several books on FE funding

11:00 GDPR: How will your college or training provider rely on you?
Dave Hughes, Principal Associate, Eversheds Sutherland

11:40 Break for coffee and networking

12:00 Changes to the ILR for 2018/19 and best practice for completion
Mark Shield, Data Specification Manager, ESFA

13:00 Break for lunch and networking

13:50 Reforms to the Funding Information System (FIS) and the Hub
Ian Tress, Data Collections Transformation Product Owner at the ESFA

14:30 Apprenticeship Service upgrades and use of data
Gary Tucker, Head of Digital Apprenticeships at the ESFA and Jason Poole, Head of Apprenticeship Operations at the ESFA

15:30 FAM reports – areas being monitored in 2017/18 and tips to resolve
Lisa Smith, Manager and Lead for FE Funding Team, RSM

16:00 Spring data conference end

#SDC18

Thank you to our exhibitors

#SDC18

Key funding rules and rates update for 2018/19

#SDC18

LSECT LEARNING & SKILLS EVENTS, CONSULTANCY & TRAINING

16-19 study programmes

Still no funding guidance for 2018/19

The 2017/18 version was published 7 April 2017
https://www.gov.uk/guidance/16-to-19-education-funding-guidance

But ESFA letter in January suggested no surprises

https://www.gov.uk/government/publications/16-to-19-funding-funding-for-academic-year-2018-to-2019

- **Study programme funding rates unchanged**
- **Additional payment for extra level 3 maths**
- **5% English and maths Condition of Funding tolerance remains indefinitely**
- **No retention rate penalty for drop-outs after 30 June in first of two years (temporary)**
- **19+ continuing students to be 'embedded' in formula funding**
- **Development funding for T Levels & Maths**

Apprenticeships

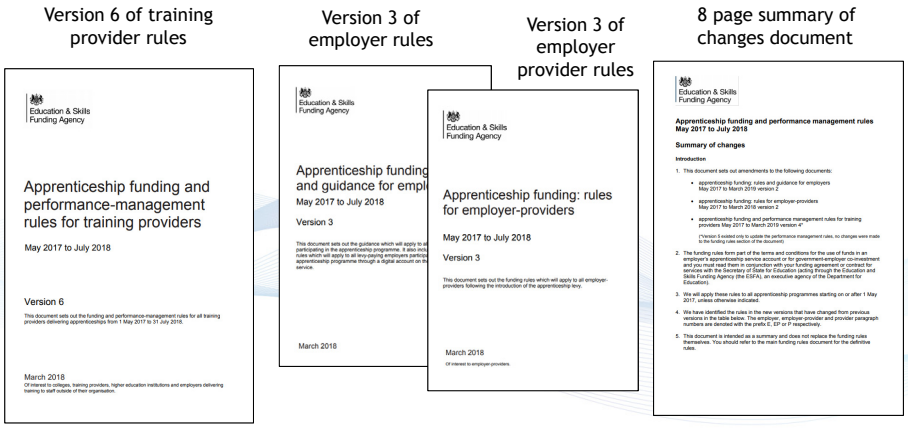
https://www.gov.uk/government/publications/apprenticeship-funding-and-performance-management-rules-2017-to-2018

Version 6 of training provider rules

Version 3 of employer rules

Version 3 of employer provider rules

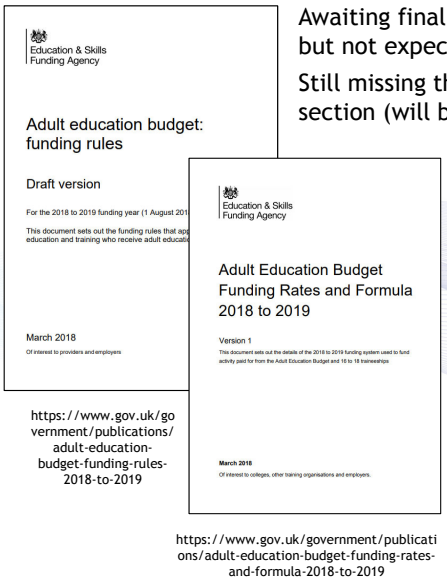
8 page summary of changes document



But still no sign of 2018/19 rules

As a minimum there may be changes to subcontracting rules and additional funding rate bands

Adult Education Budget



https://www.gov.uk/government/publications/adult-education-budget-funding-rules-2018-to-2019

https://www.gov.uk/government/publications/adult-education-budget-funding-rates-and-formula-2018-to-2019

Awaiting final version of 2018/19 rules, but not expecting changes

Still missing the payments and performance management section (will be added to final version 'in due course')

"There are no changes to how we set funding rates or the funding calculation in the funding year 2018/19"

ESFA has said for 2018/19 they will fund up to 3% over-delivery in full

But…tight-lipped on whether the 3% tolerance for under-delivery will remain

After providers missed allocation targets and complained it was hard to profile AEB funding, I created a dynamic profiler in Excel. Webinar date to be announced shortly

EVERSHEDS SUTHERLAND

GDPR: How will your college or training provider rely on you?

Understanding key risks and responsibilities with 30 days to go

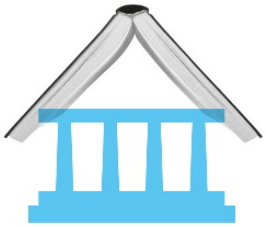
24 April 2018

Key Definitions and Current Law

Understanding the basics to anticipate the future

Data Protection Act

Key Definitions



- Personal Data
  - Information which:
    - *Relates to <u>and</u> identifies*
    - A living individual
  - Including both: automatic processing – all electronic / computer records or
  - In a relevant filing system/handwritten notes ("temp test")
  - Examples of personal data
- Processing
  - Obtaining, recording, storing, accessing, transmitting, disclosing, sharing, using, consultation, manipulating etc.
- Sensitive Personal Data
  - Information about religious or other beliefs, political opinions, trade union membership, sexual life and sexual orientation, racial/ethnic origin, physical or mental health
  - Genetic and Biometric data
  - Criminal allegations and offences

Data Protection Act

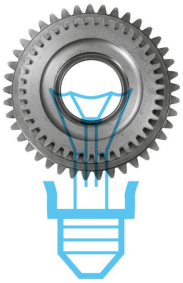
Key Definitions

- Data Controller
  - Any entity which determines the manner in which and purpose(s) for which Personal Data is Processed
- Data Processor
  - Service providers, other group companies who provide a service using personal data on behalf of a data controller

Eversheds Sutherland

Data Protection Act

Data Protection Principles



- 8 data protection principles
  - Fair and lawful use
    - *Note: Two separate requirements*
  - No further incompatible use
  - Ensure adequate not excessive
  - Check accurate and up to date
  - Only retain where necessary
  - Comply with individual rights
  - Use securely
    - *Most common area of enforcement action*
  - Only export with adequate safeguards
    - *Currently an area of particular uncertainty!*

Eversheds Sutherland

EU General Data Protection Regulation
Quick Recap of Key Points

Eversheds Sutherland

General Data Protection Regulation ("GDPR")
Quick recap

1. In force from 25 May 2018
2. Wider territorial scope than Data Protection Directive
3. Percentage turnover fines (up to 4% or £17 million, whichever is **higher**) for non-compliance
4. Places increased compliance obligations on data controllers (the Institution)
5. Rights strengthened (for all staff incl. employees; candidates)
6. Duty to report certain data security breaches to ICO within 72 hours of awareness
7. Most FE organisations will require Data Protection Officers
8. GDPR will **not** go away after Brexit!

Eversheds Sutherland

GDPR

Bedrock of core principles

- **8 DP Principles move to 6**
  - lawfulness, fairness and transparency
  - purpose limitation
  - data minimisation
  - accuracy
  - storage limitation (retention)
  - integrity and confidentiality (security)
- In addition, expanded **rights of data subjects**
- **Prohibition on ex-EEA transfers** remains

Eversheds Sutherland

GDPR – Fair Processing

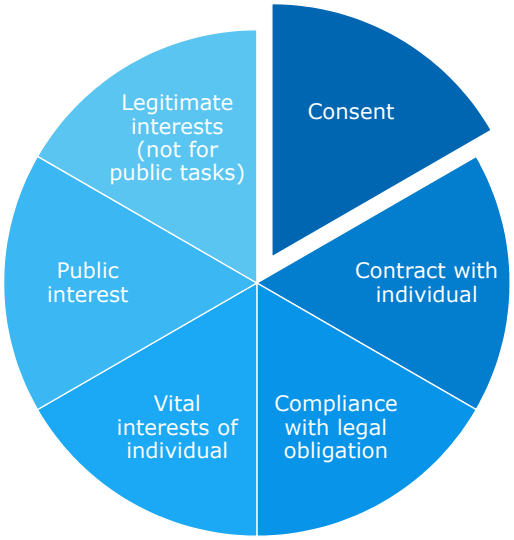
Privacy notices – mandatory information

Employer's identity and contact details	Data Protection Officer's contact details (if organisation has DPO)	Categories of personal data to be processed
Purposes for which data will be processed and legal basis for doing so	Details of recipients of data	Any transfers beyond EEA
Period of storage of data (or criteria used to determine)	Rights of data subjects (including to complain)	Existence of automated decision-making

Eversheds Sutherland

GDPR – Lawful Processing

Alternative bases for lawful processing



Eversheds Sutherland

GDPR – Security Breach

Mandatory breach reporting

- Primary obligation on Institution as data controller
- Breach notification – regulator:
  - without undue delay, but not later than 72 hours of becoming aware of the breach
- Data processor
  - obligation to notify the data controller without undue delay of becoming aware of the breach
- Breach notification – individuals
  - high risk to individuals
  - without undue delay

Eversheds Sutherland

GDPR – Data Sharing

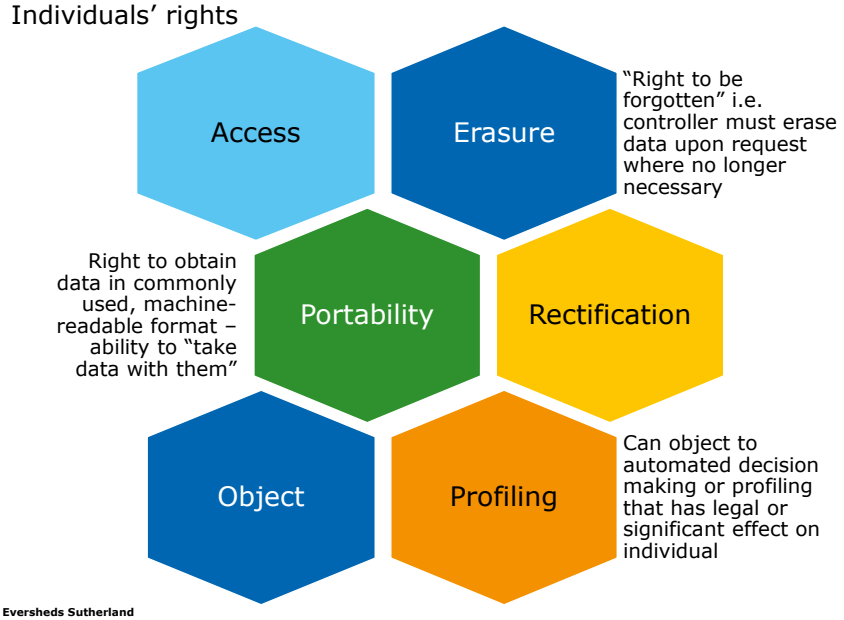
International Transfers and Data Sharing

- In terms of data sharing, the key point is to remember that sharing personal data whether internally, externally, within the group or outside of it, must be compliant with the Data Protection Principles.
- Prior to making any disclosures, consider (for example):
  - Is the disclosure "fair"?
  - Is the disclosure "lawful"?
  - Is the disclosure "necessary"?
  - Is the proposed sharing "secure"?
  - Does it in involve any international transfers and if so, what adequate safeguards are in place?
- Unnecessary or otherwise unlawful data sharing will be a security breach, not matter how well meaning the intention behind it.

Eversheds Sutherland

GDPR – Individual Rights

Individuals' rights



Eversheds Sutherland

GDPR – Responsibilities

What data controllers expect of their employees

- In your role Key Principles will be accuracy, data minimisation and integrity and confidentiality.
  - You will have front-line visibility of inaccuracy, unnecessary data and security concerns
  - Identify these promptly, work with your DPO and improve internal compliance
- You must be able to spot and report:
  - security breaches
  - individual rights requests
- New Data Protection Bill offences
  - 'shredding' offence
  - re-identification offence
- Be aware of guidance, but when assessing risk work back form the principle of accountability.

Eversheds Sutherland

Education & Skills Funding Agency

ILR changes for 2018 to 2019

Mark Shield, Data Specification Manager

Contents

- Data Specification Team
- 2018 to 2019 ILR changes
- Data management principles
- Best practices
- Future changes

Data Specification Team

- ILR change process
- ILR documentation:
  - specification, provider support manual, appendices, ad hoc guidance…
- Validation rules
- Standard file specification and testing

2018 to 2019 ILR changes

New ILR fields:

- Agreement ID
- Campus Identifier
- Off the job training hours

Agreement ID

- The identifier associates a legal entity (organisation) to an employer's apprenticeship account.
- This field must be recorded for all learners who have an apprenticeship programmes funded through a contract for services with the employer (Learning Delivery FAM Type = ACT1).
- In addition to improving the level of data matching, this field will allow for a considerable improvement in the commitment process between the provider and employer. This will retain employer ownership whilst enabling providers to get paid more easily for apprenticeship training for levy employers.

Campus Identifier

- This field records the identifier of a campus within a college group who is no longer a separate legal entity but previously operated as an incorporated college with a UKPRN.
- This allows identification of provision delivered across the various sites of merged institutions.
- Only returned where the provider has been notified that they can use this field.
- This field will be governed, monitored and validated.

Off the job training hours

- Cumulative total of actual off-the-job training hours (as defined in the funding rules) delivered to date, to the individual apprentice, in the academic year by the training provider, sub-contracted training providers and the employer.
- To provide information about the quantum of off-the-job training delivered. To help demonstrate compliance with the funding rules.
- Recorded to the nearest whole hour.
- Updated monthly.
- This field is optional to return on the ILR.

New codes added to existing ILR fields

- Employment Intensity Indicator

  The existing codes are being replaced to with the following to allow for more robust monitoring and validation of apprenticeship minimum durations:

  Apprentice is employed for 0 – 10 hours per week

  Apprentice is employed for 11 – 20 hours per week

  Apprentice is employed for 21 - 30 hours per week

  Apprentice is employed for 31 hours or more per week

- Withdrawal Reason

  A new code to record where a learner has transferred provider due to a merger.

- Learning Support Funding

  Additional codes added as 'Unassigned' as contingency.

Changes to existing fields

- Software Supplier Aim Identifier
  - Change from an optional field to a mandatory field.
  - This will be mandated in 2018 to 2019 by validation rules and not the ILR Schema file.
  - We have published code, that can be used to produce the globally unique identifier that is used in this field.

Contact Preference

Contact Preference Entity

- The Contact Preference entity has been updated following data protection changes, namely the new General Data Protection Regulation (GDPR).
- Learners will now have to 'opt-in' to being contacted, this has meant the Contact preference code listing has changed to reflect this.
- The codes now will now take into account the learners agreement. Field notes for both fields 'Contact preference type' and 'Contact preference code' have also been updated.

Contact preference example

For 2017 to 2018 the ILR is not being updated with the change to the contact preference codes.

Example:

If a learner starts on or after 25 May 2018 and before 1 August 2018 they are recorded on the 2017 to 2018 ILR as normal.

As a provider you must capture, whether the learner has opted in to allow their data to be shared. This data however is not returned on the 2017 to 2018 ILR.

When these learners are returned in the following year (2018 to 2019), the learner records will need to be amended to reflect the learners actual preference to opt in or not.

Document changes for 2018 to 2019

Appendix H has moved location and ownership

https://www.gov.uk/government/collections/sfa-funding-rates

Appendix C has been added to the front section of the spec

Data management principles

You must adhere to the following 5 data management principles when completing the ILR.

Principle 1: The ILR must accurately describe the provision delivered to each learner.

The data you record on the ILR must accurately reflect the journey for the learner and what has happened. Inaccurate information must never be entered even where it is perceived that this would result in a more equitable claim for funding or accurate record of performance.

If no learning is delivered for a learner, then no learning should be recorded on the ILR. For example, if a learner withdraws without attending the first class, then this learner is not included on the ILR. You must not record this on the ILR with a completion status of 'withdrawn'.

Data management principles

Principle 2: The ILR must accurately and comprehensively reflect what is recorded in the learner file or learning agreement.

The learner file (or learning agreement) records the goals that the learner and provider have agreed. It is against these goals that provider performance, in terms of achievement rate, is measured.

Principle 3: For any particular return, a provider must meet the timeliness specification.

Where there is a collection reference date on the ILR data collection timetable (Appendix A), you must accurately describe in the ILR all provision delivered up to and including the collection reference date. The provider may include data for provision delivered after the collection reference date.

Data management principles

Principle 4: Basic pieces of information about a learner and their learning must remain constant once entered in the ILR except where the information has been entered in error.

Where inaccurate data is sent, Principle 1 takes precedence: it is more important to correct inaccurate data than to not change fields.

Principle 5: Providers should aim to implement data management best practice when processing learner data within their systems in order to deliver timely and accur.ate data in their ILR

Best practices

Don't wait till the last 15 minutes of a collection to submit data.

- Submit data early, identify and resolve errors, and resubmit.
- Many providers keep resubmitting the data in order to maximise funding against the employers apprenticeship record.
- After the collection closes the system runs the data against the apprenticeship service commitments at that time. It uses this data matching to produce the funding.
- For help and support read the provider support manual and use FE Connect.

Best practices

- Check your monthly funding monitoring reports and use the guidance documents available.

https://www.gov.uk/government/publications/sfa-financial-assurance-monitoring-the-funding-rules

- The user guide identifies issues that are flagged in the report, these may be subject to an automatic recovery of funds: check Annex B in the guide for these details.
- You should be able to provide evidence, if asked, to support your data and funding claim. For example, you should be able to provide evidence that apprentices on level 1 English or maths have had an initial assessment to support delivery of this learning.
- For employer checks, e.g. verifying use of the Small employer indicator, we initially check EDRS data and then use resources such as Companies House to verify employer size as per the definition in the funding rules. Any declaration by an employer MUST cover the whole group of connected companies.
- We expect lead providers to ensure appropriate checks are in place so that subcontractors do not claim duplicate funding for the same learning.
- Lead providers must use their own records effectively to ensure they are not claiming funding for delivering an aim or programme that they have already successfully delivered to that learner.

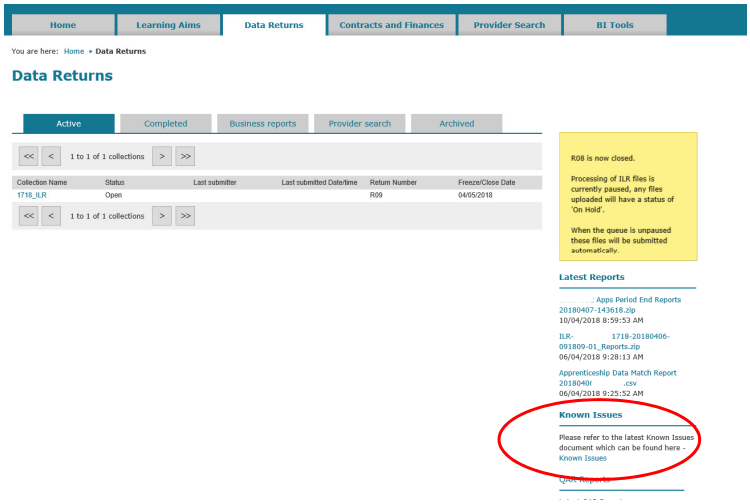
Best practices

Known issues log

When resolving validation errors, please check the published 'known issues' log:

https://www.gov.uk/government/publications/individualised-learner-record-ilr-check-that-data-is-accurate

This is also located in the Hub on the Data Returns tab.



Future

Validation:

- Validation rules for 2018 to 2019 will be written in 2 different publications
  - One for FIS
  - One for the Hub
- Future intent for rules to be renamed and regrouped into meaningful sections, i.e. funding rules, funding monitoring, minimum duration, etc…

Future

ILR specification format:

- Currently not GDS compliant
- User research volunteers

Appendices:

- Looking at publishing a single document containing all ILR look up tables instead of separate appendices

Help and support

- FE Connect:
  - http://feconnect.sfa.bis.gov.uk/
- Service desk:
  - Telephone: 0370 267 0001
  - Email: sde.servicedesk@education.gov.uk

Useful Links

- **Education & Skills Funding Agency**
  - https://www.gov.uk/government/organisations/education-and-skills-funding-agency
- **ILR specification**
  https://www.gov.uk/government/collections/individualised-learner-record-ilr
- **ILR Provider Support Manual and Learner Entry Tool User Guide**
  https://www.gov.uk/government/publications/ilr-guides-and-templates-for-2017-to-2018
- **The Hub**
  https://hub.fasst.org.uk/Pages/default.aspx
- **Apprenticeship funding rules**
  https://www.gov.uk/government/publications/apprenticeship-funding-and-performance-management-rules-2017-to-2018
- **Apprenticeship technical funding guide**
  https://www.gov.uk/government/publications/apprenticeship-technical-funding-guide

Education & Skills Funding Agency

Data Collections Transformation (DCT)

Ian Tress, Product Owner

What is a Product Owner?

- Make sure your service will meet user needs (user centred design)
- Define what the future goal of the service is
- Make sure your service is accessible to everyone, including people who have a disability
- Prioritise user stories for each work sprint
- Comment on technical, content and design solutions
- Accept user stories when complete

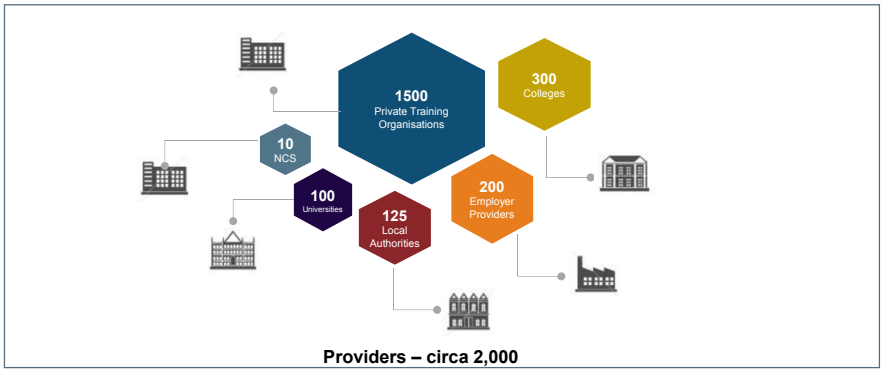
Slide 46

LB1 Jargon - User Centred Design
LIGHTFOOT, Béatrice, 19/04/2018

Why are we updating the service

- Elements of the current ESFA-based data collection software will no longer be supported from 2019 (Continuous Improvement and Deployment).
- The apprenticeships service has seen a change in provider behaviour and volumes (future).
- The DfE's preferred long-term solution for collecting data will not be available for the post-16 sector for at least 2 years.
- There is clear user need based on feedback from our user research.

Current provider segmentation

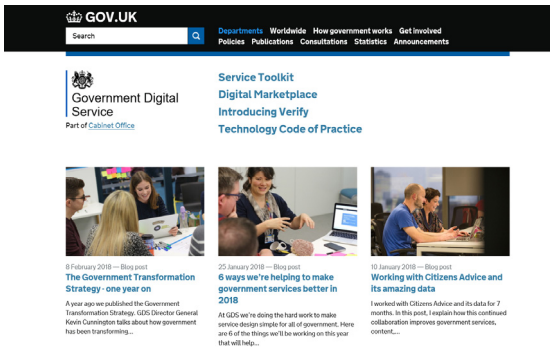


Slide 47

LB2 Contunous improvement and deplyment
LIGHTFOOT, Béatrice, 19/04/2018

LB3 There is a clear user need - Feedback from our user research ..
LIGHTFOOT, Béatrice, 19/04/2018

Government Digital Service (GDS)



Digital service standard

- Understand user needs (UCD)
- Do ongoing user research
- Have a multidisciplinary team
- Use agile methods
- Iterate and improve frequently
- Evaluate tools and systems
- Understand security and privacy issues
- Make all new source code open
- Use open standards and common platforms
- Test the end-to-end service
- Make a plan for being offline
- Make sure users succeed first time
- Make the user experience consistent with GOV.UK
- Encourage everyone to use the digital service
- Collect performance data
- Identify performance indicators
- Report performance data on the performance platform
- Test with the minister

User research early findings

Data Submission:

Users feel there is nothing wrong with the current submission process. Our users would like notifications when their file is complete and reports are available.

Business reports:

Users only use the funding summary, apprenticeship indicative and occupancy reports. These reports are too large and often contain a lot of useless and duplicate data.

Reconciliation:

Users spend most of their time trying to reconcile different values for the same figures across different reports and finally their remittance. This causes a lot of confusion and stress.

EAS:

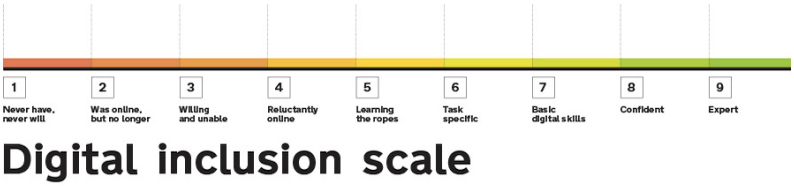
Most of our users had never used this submission, but when they had found it easy.

Guidance:

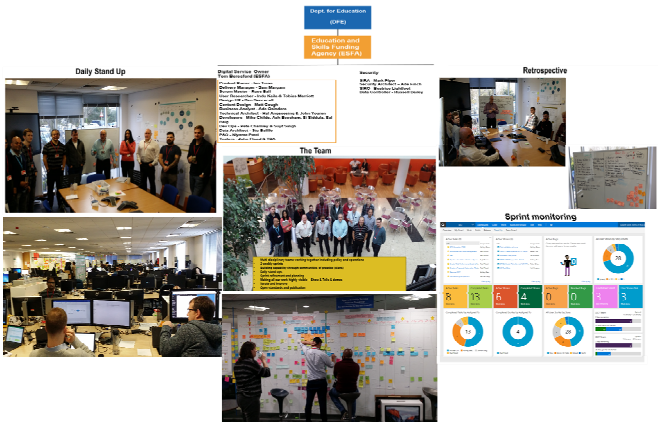
Our users use the support manual and ILR specification frequently. However, they find the guidance jumbled (especially jumping around the funding streams).

Digital inclusion - participants

- Users are from a broad range of providers
- Users are Data Managers, Contracts Managers, Data Analysts and Compliance Managers
- All our users are high on the digital scale, an 8 or 9. We are making efforts to recruit users lower on the digital scale and with access needs



The Delivery Team

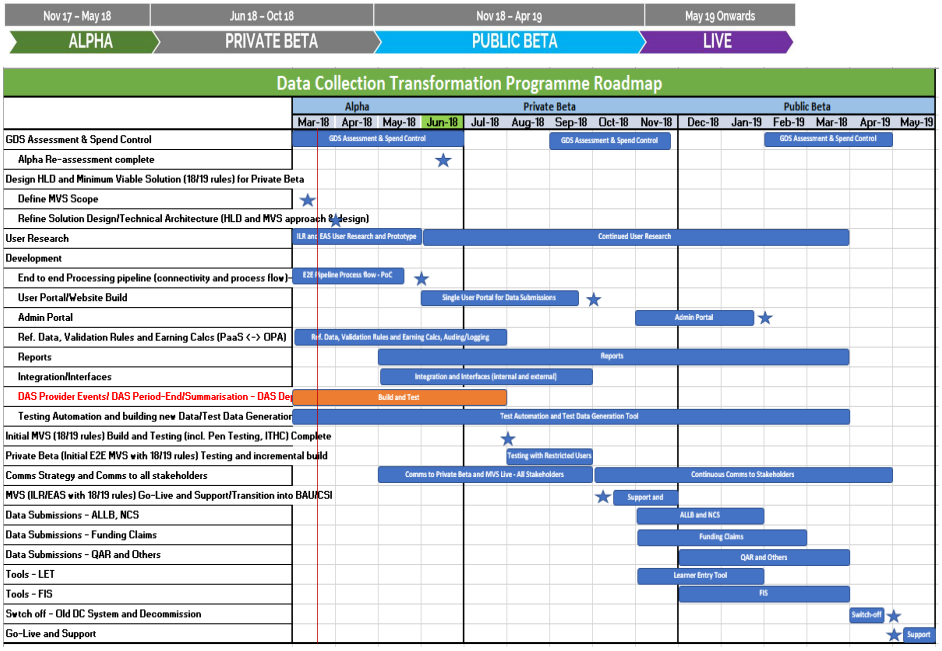


Agile delivery methodology

Scrum in action

LB4

Indicative timeline



Technical choices

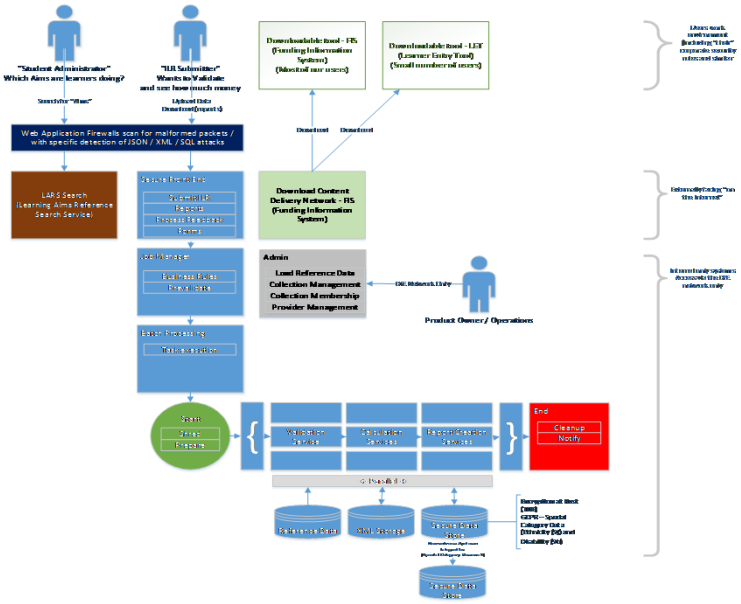
- Public Cloud (Azure)
  - Large skills base
  - WebApps – highly scalable, good security, good telemetry, easy to deploy (multiple environments) with secure private settings
  - Web Application Firewalls inspecting traffic
  - Service Fabric – allows secure connectivity (WAN only), Simple to deploy
  - SQL Platform as a Service (encryption and scaling)
- Languages
  - C#, ASP.NET Framework, Core where we can (some limitations)
- Deployment
  - Visual Studio Team Services Build and Release Pipeline

Slide 55

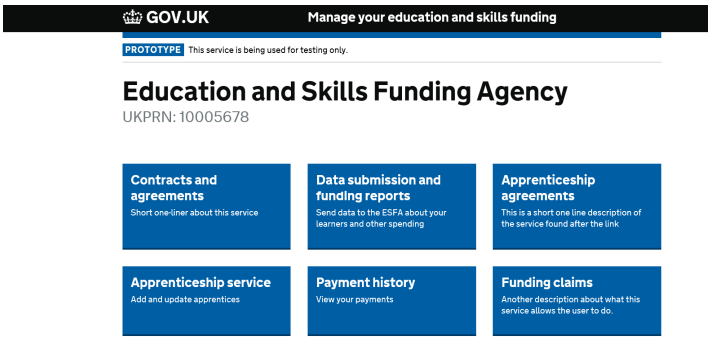
LB4 Indicative timeline - we don't want to issue firm commitments

LIGHTFOOT, Béatrice, 19/04/2018

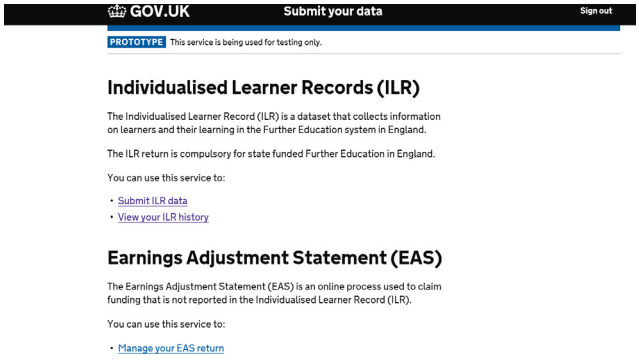
High level architecture



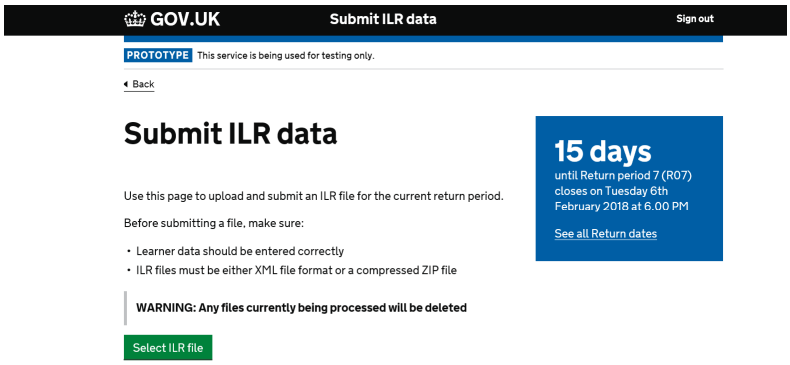
Prototype



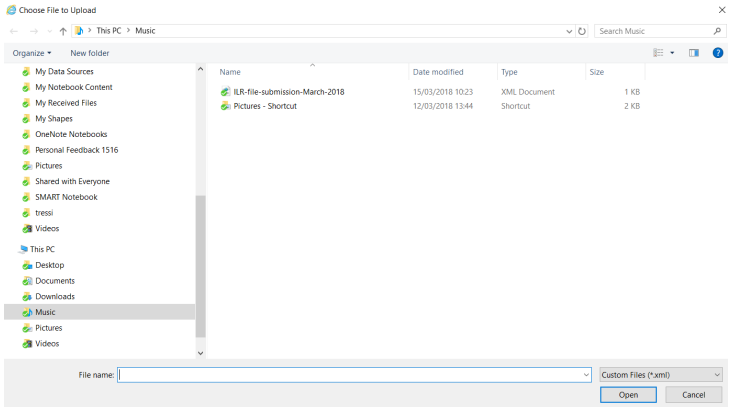
Prototype



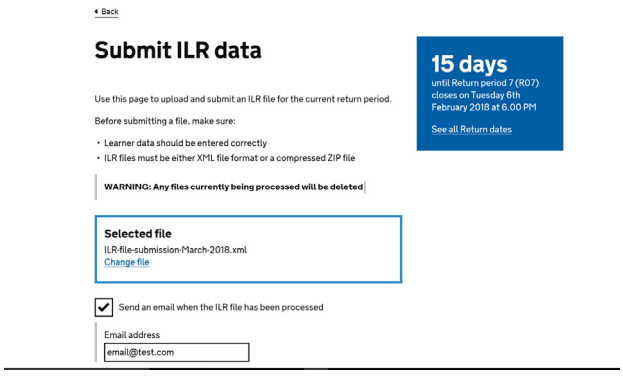
Prototype



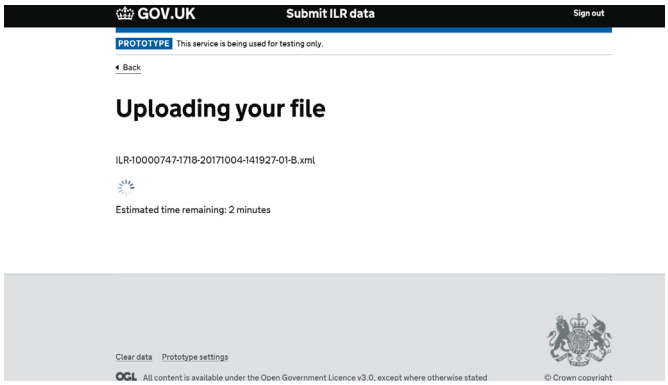
Prototype



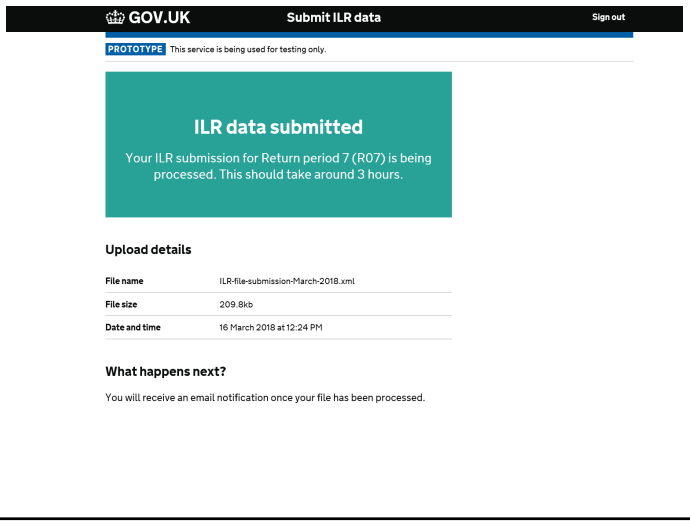
Prototype



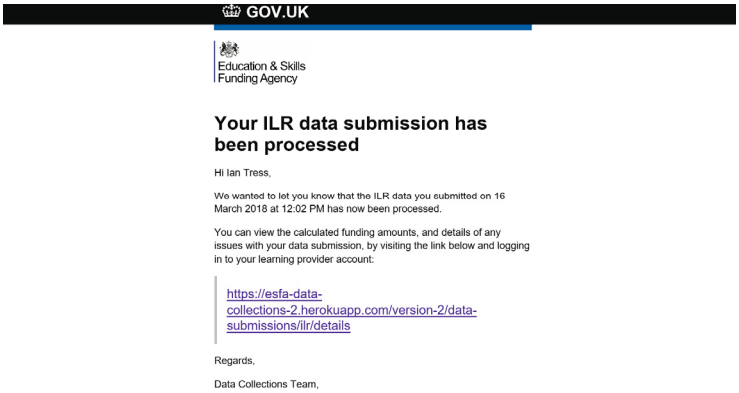
Prototype



Prototype



Prototype



GOV.UK

Education & Skills Funding Agency

Your ILR data submission has been processed

Hi Ian Tress,

We wanted to let you know that the ILR data you submitted on 16 March 2018 at 12:02 PM has now been processed.

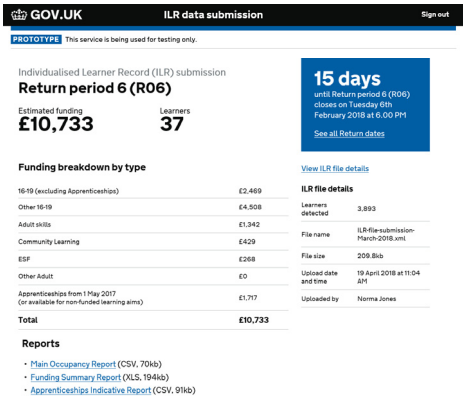
You can view the calculated funding amounts, and details of any issues with your data submission, by visiting the link below and logging in to your learning provider account:

> https://esfa-data-collections-2.herokuapp.com/version-2/data-submissions/ilr/details

Regards,

Data Collections Team,

Prototype



GOV.UK ILR data submission Sign out

PROTOTYPE This service is being used for testing only.

Individualised Learner Record (ILR) submission

Return period 6 (R06)

Estimated funding **£10,733**

Learners **37**

15 days
until Return period 6 (R06) closes on Tuesday 6th February 2018 at 6.00 PM

See all Return dates

Funding breakdown by type

16-19 (excluding Apprenticeships)	£2,469
Other 16-19	£4,508
Adult skills	£1,342
Community Learning	£429
ESF	£268
Other Adult	£0
Apprenticeships from 1 May 2017 (or available for non-funded learning aims)	£1,717
Total	**£10,733**

View ILR file details

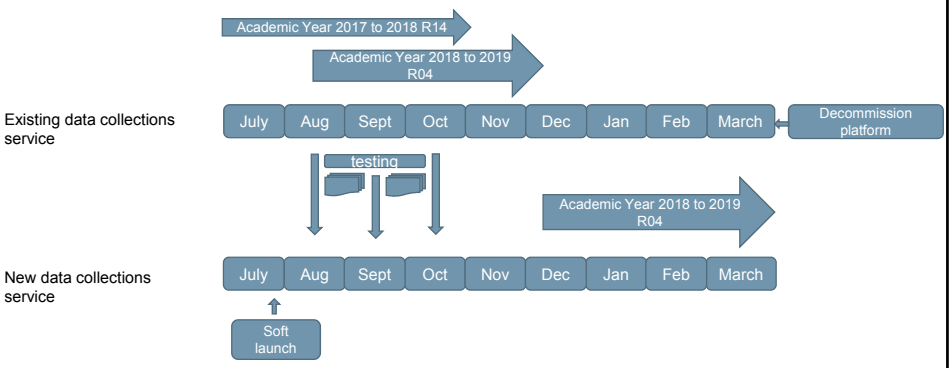
ILR file details

Learners detected	3,893
File name	ILR-file-submission-March-2018.xml
File size	209.8kb
Upload date and time	19 April 2018 at 11:04 AM
Uploaded by	Norma Jones

Reports

- Main Occupancy Report (CSV, 70kb)
- Funding Summary Report (XLS, 194kb)
- Apprenticeships Indicative Report (CSV, 91kb)

Draft cutover plan



We need your help with our user research:

https://www.surveymonkey.co.uk/r/GMWH2GJ

Apprenticeships Traineeships

Apprenticeships

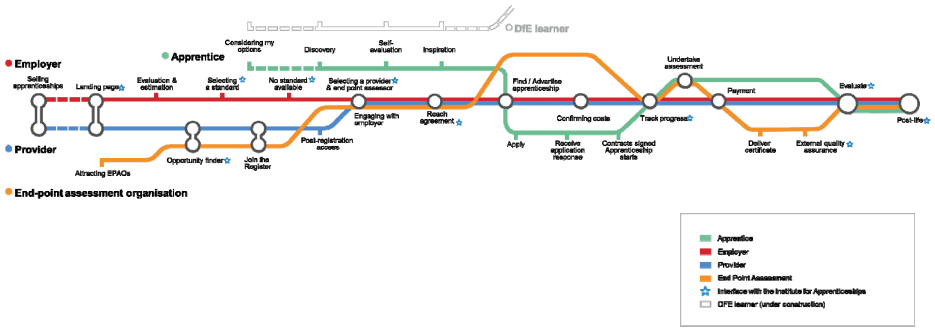
The Future of the Apprenticeship Service

Gary Tucker and Jason Poole, Education and Skills Funding Agency

Education & Skills Funding Agency

Brought to you by National Apprenticeship Service

Developing the apprenticeship service:
Vision 2020



National Apprenticeship Service

Apprenticeship Service Roadmap

Done or coming soon

- **Tasks** – in-service alerts for employers
- Changes can be made to apprentices until successful **data match**
- **Apprentice search**
- **Improved content** and support pages for employers and providers
- Employers can **download transactions**
- **Public sector reporting** within the account
- **Funding projection tool** for employers – version 1 currently being piloted
- Employers will be able to see when **funds are due to expire**

Apr - Jun 18

- **Enhanced forecasting** including modelling
- **Transfers estimating** tool to support planning of transfers
- Employers can **transfer funds**
- **Start and end date** reflected from the ILR in the employer's account
- **Update organisation details**
- Employers can see the **end-point assessment organisation** for each apprentice
- End-point assessment organisations can record the **outcome of the assessment** on the service
- Improved **visibility** of apprentice and **payments information** for support team
- **Improved reporting** for providers

Jul - Sept 18

- Pilots begin for employers who **don't pay the levy**
- **Enhanced content** and guidance for employers and providers
- **Employer and apprentice feedback on provider MVS** introduced on Find apprenticeship training
- Search for a **provider by name** on Find apprenticeship training
- **Incentive payments** shown in employers' accounts
- Display of **refund** transactions
- Improvements to make **data matching** easier for employers and providers
- A more streamlined process for employers and providers to **enter apprentice details**
- Develop **API hub** to allow 3rd parties to integrate vacancy search and posting

Oct 18 - Mar 19

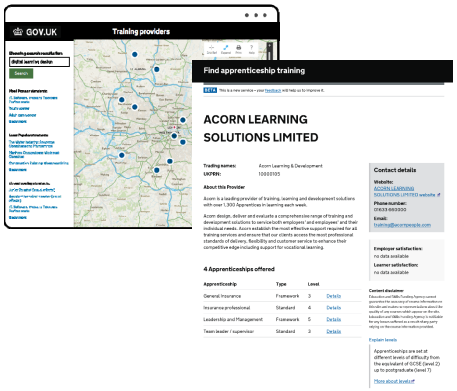
- Employers can **post and manage vacancies**
- **Improvements to access levels** for employers
- **Sub accounts** for employers
- **Improved support service** with access to a greater range of help channels

Apr 19 onwards

- **Employers who don't pay the levy can manage funding** through the apprenticeship service
- **Improved marketing** and dynamic content for employers, providers, apprentices and end-point assessment organisations
- **Payments made to end-point assessment organisations** through the apprenticeship service

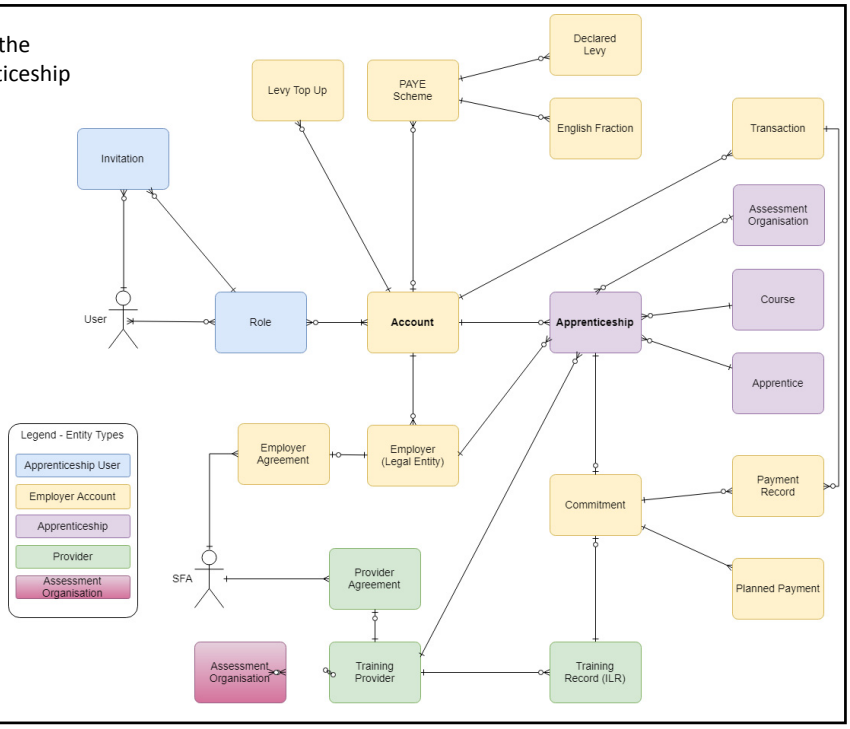
Provider Opportunities

- Opportunity finder will help providers to plan your provision
- Employer and apprentice feedback on providers
- Apprenticeship levy transfers opens new opportunities for business



National Apprenticeship Service

Data in the Apprenticeship Service



Apprenticeships

The apprenticeship service

Transfers journey

Education & Skills Funding Agency

Transfers benefits

If the employer has funds to transfer

- Direct funds in a way that benefits their business.
- Support their sector, supply chain or a local agenda or charity.

If the employer is receiving a transfer

- Training for their apprenticeship will be paid in full
- Get help and support from the transferring employer

National Apprenticeship Service

Calculate your transfers allowance

Up to 10% of

(TOTAL LEVY DECLARED APRIL – MARCH) x ENGLISH PERCENTAGE + 10% GOVERNMENT TOP-UP

See transfer allowance from April 2018
New transfer estimator tool
Calculate what you can afford

National Apprenticeship Service

Identify an employer

- Find an employer(s) to transfer funds to
- Agree details of the apprenticeship
  - apprenticeship standard
  - number of apprentices
  - apprenticeship duration
  - cost
- Understand the rules and obligations regarding transfers

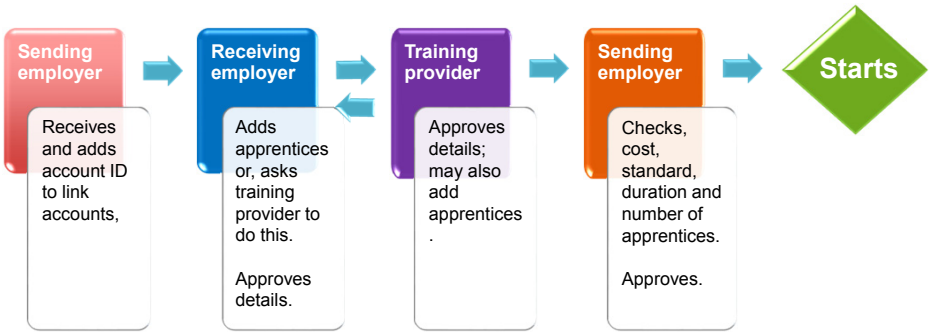
National Apprenticeship Service

Apprenticeship service account

- Set up account, enabling employers to:
  - connect with each other
  - add the apprentice details
  - confirm the transfer
  - view transfer transactions
- Provide support
- Employers that don't pay the levy should not rush into registering
- Further information will be available on **how** and **when** to register

National Apprenticeship Service

Connecting accounts and add apprentices



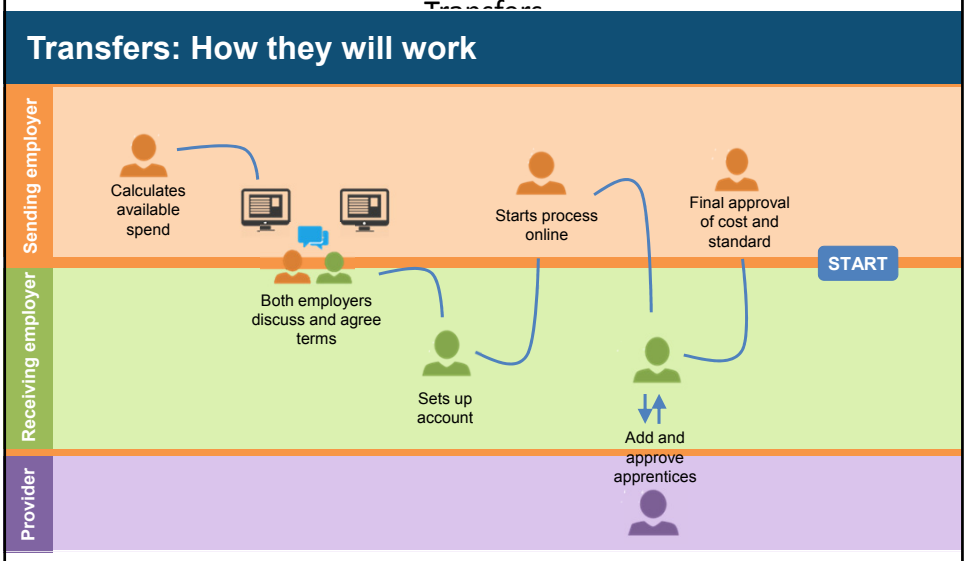
National Apprenticeship Service

Payments

- Payments will be made monthly
- Transfer transactions will be clearly marked in the finance section
- Funds will transfer until the apprentice completes or the apprenticeship is stopped by the receiving employer
- Transfer funds debit from the sending employer's account before other commitments

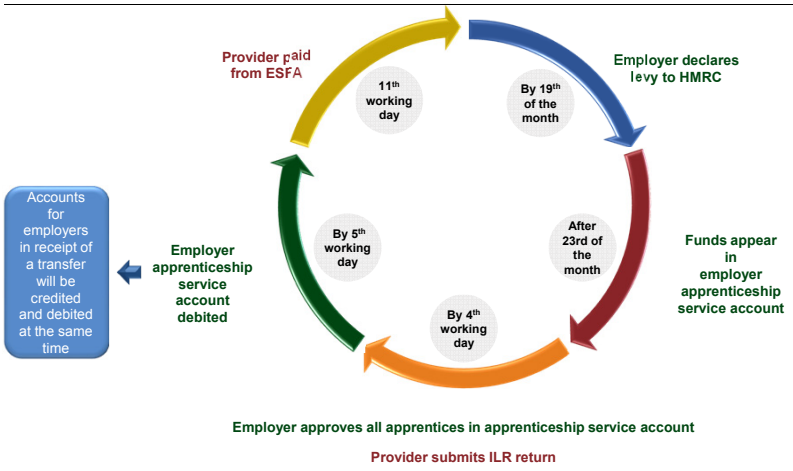
National Apprenticeship Service

Transfers: How they will work



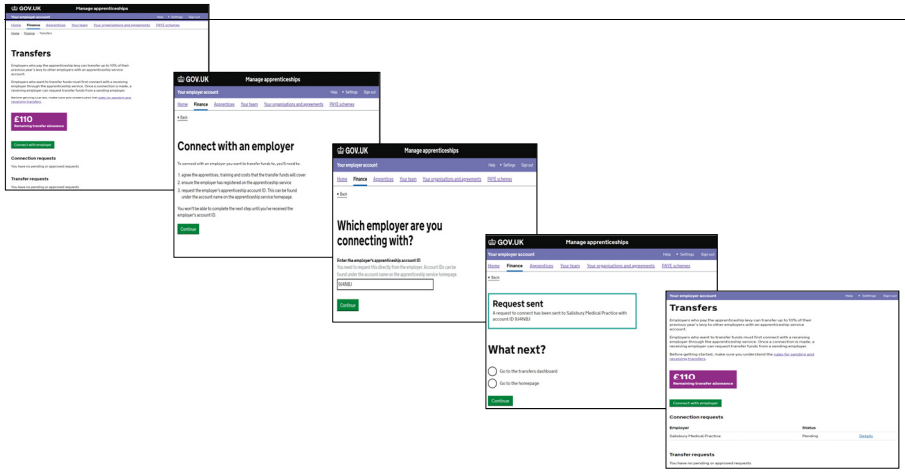
National Apprenticeship Service

Employer and provider payment cycle



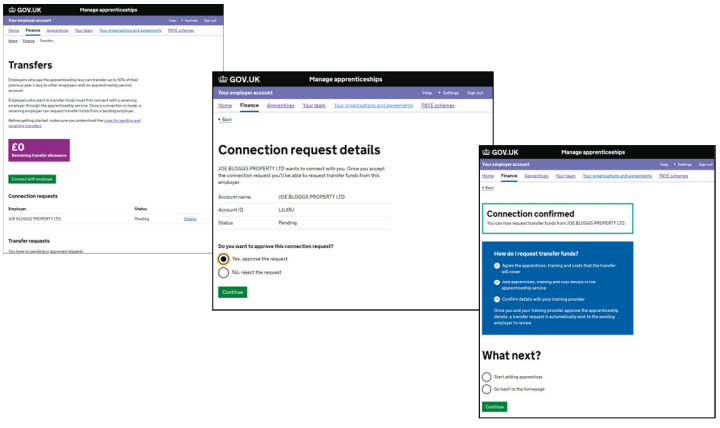
National Apprenticeship Service

Connection Journey: sending employer



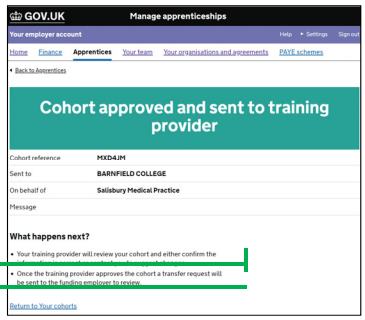
83

Connection journey: receiving employer

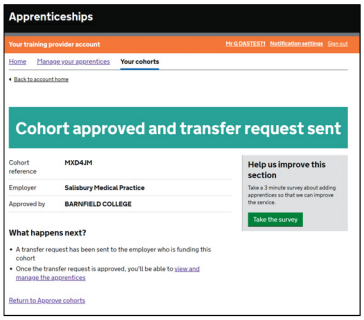


84

Transfer request: receiving employer and provider



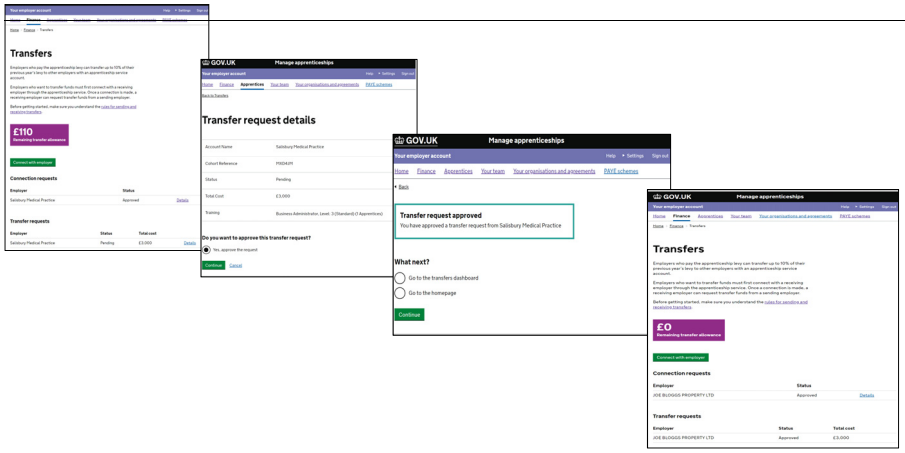
Receiving employer screen



Provider screen

85

Transfer request: sending employer's approval



86

Apprenticeship Service Roadmap

Done or coming soon

- **Tasks** – in-service alerts for employers
- Changes can be made to apprentices until successful **data match**
- **Apprentice search**
- **Improved content** and support pages for employers and providers
- Employers can **download transactions**
- **Public sector reporting** within the account
- **Funding projection tool** for employers – version 1 currently being piloted
- Employers will be able to see when **funds are due to expire**

Apr - Jun 18

- **Enhanced forecasting** including modelling
- **Transfers estimating** tool to support planning of transfers
- Employers can **transfer funds**
- **Start and end date** reflected from the ILR in the employer's account
- **Update organisation details**
- Employers can see the **end-point assessment organisation** for each apprentice
- End-point assessment organisations can record the **outcome of the assessment** on the service
- Improved **visibility** of apprentice and **payments information** for support team
- **Improved reporting** for providers

Jul - Sept 18

- Pilots begin for employers who **don't pay the levy**
- **Enhanced content** and guidance for employers and providers
- **Employer and apprentice feedback on provider MVS** introduced on Find apprenticeship training
- Search for a **provider by name** on Find apprenticeship training
- **Incentive payments** shown in employers' accounts
- Display of **refund** transactions
- Improvements to make **data matching** easier for employers and providers
- A more streamlined process for employers and providers to **enter apprentice details**
- Develop **API hub** to allow 3rd parties to integrate vacancy search and posting

Oct 18 - Mar 19

- Employers can **post and manage vacancies**
- **Improvements to access levels** for employers
- **Sub accounts** for employers
- **Improved support service** with access to a greater range of help channels

Apr 19 onwards

- **Employers who don't pay the levy can manage funding** through the apprenticeship service
- **Improved marketing** and dynamic content for employers, providers, apprentices and end-point assessment organisations
- **Payments made to end-point assessment organisations** through the apprenticeship service

Apprenticeship Service Roadmap

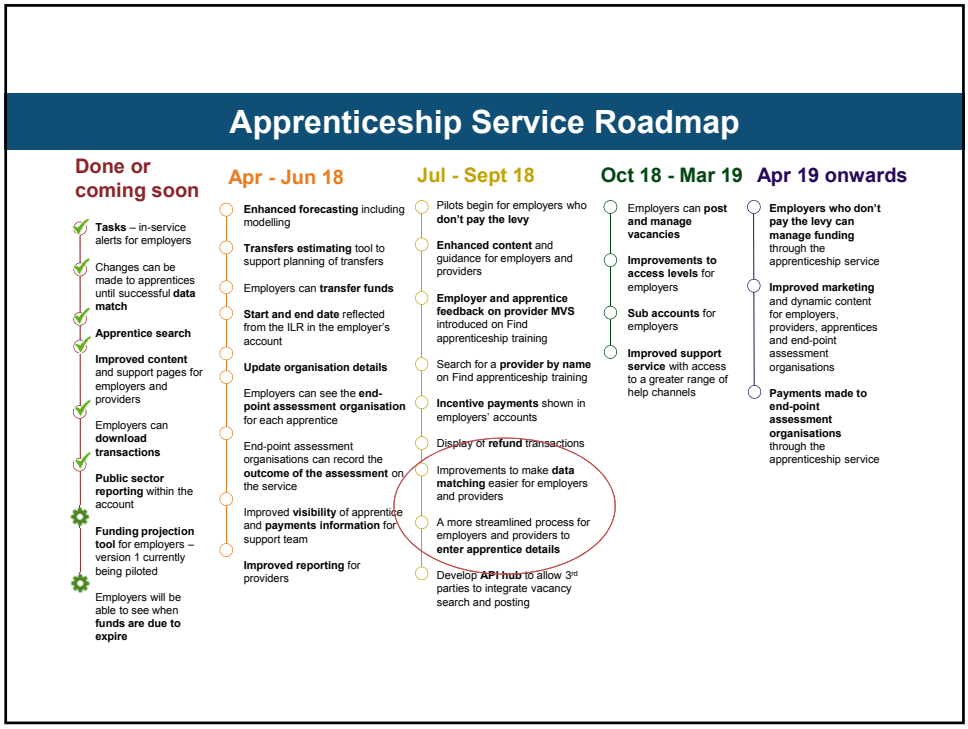
April - June 18

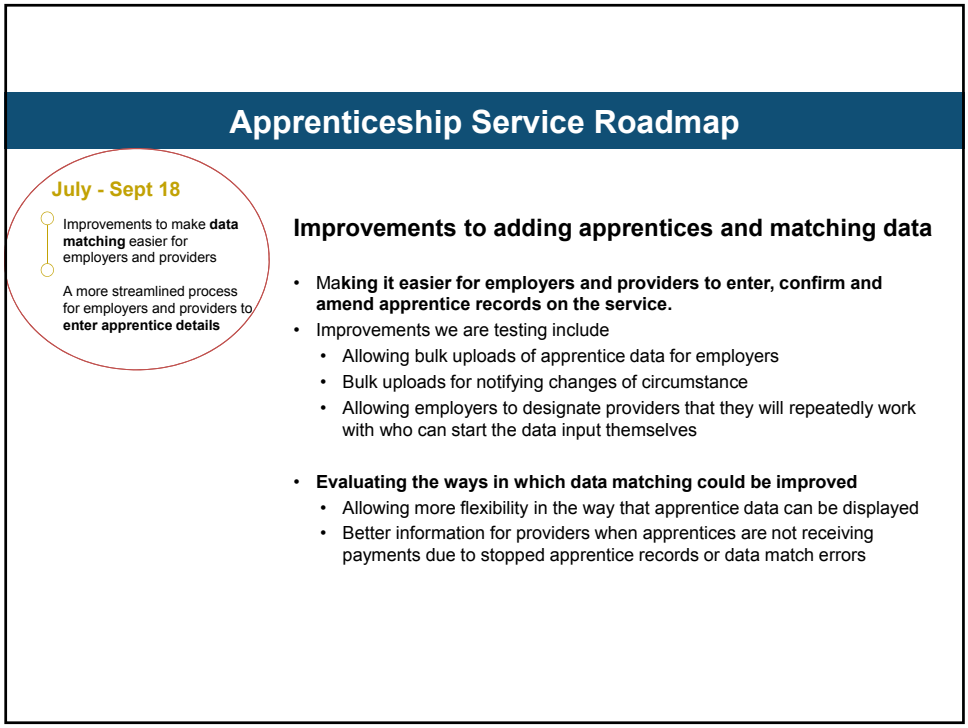
- **Improved reporting** for providers

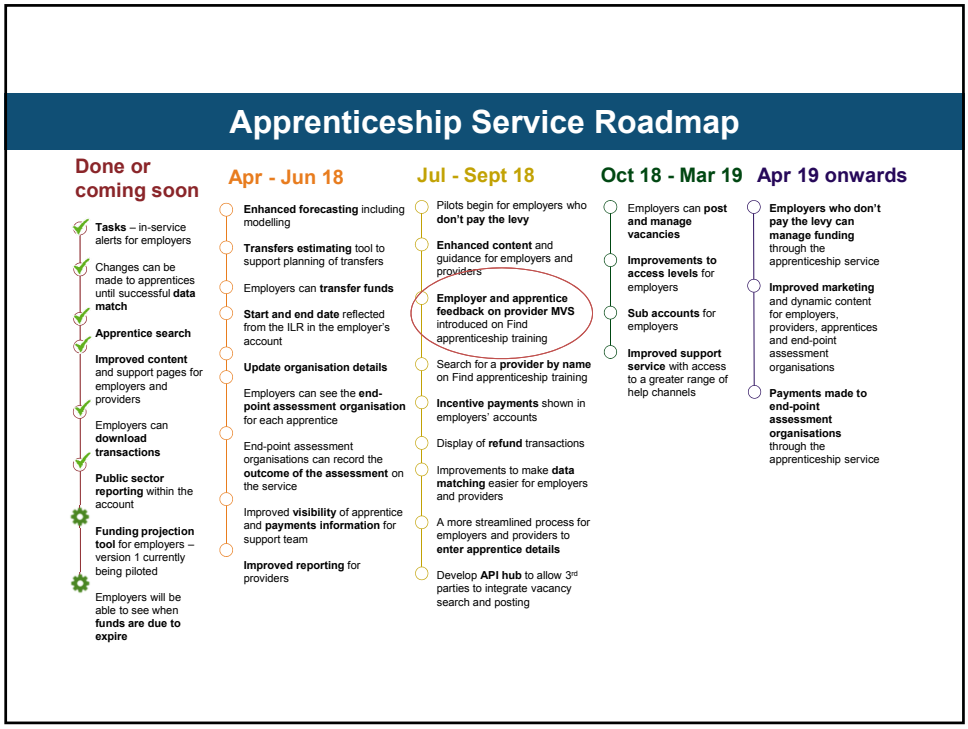
Improved reporting for providers

Short term improvements will be made for R09 (start of May)

- a new report to give greater detail on £500 additional payments for employers and providers
- Improvements to the monthly payment report to show all historic paid learners for that year (including those that are deleted from the latest ILR)


Apprenticeship Service Roadmap
Done or coming soon
Tasks – in-service alerts for employers
Changes can be made to apprentices until successful data match
Apprentice search
Improved content and support pages for employers and providers
Employers can download transactions
Public sector reporting within the account
Funding projection tool for employers – version 1 currently being piloted
Employers will be able to see when funds are due to expire
Apr - Jun 18
Enhanced forecasting including modelling
Transfers estimating tool to support planning of transfers
Employers can transfer funds
Start and end date reflected from the ILR in the employer's account
Update organisation details
Employers can see the end-point assessment organisation for each apprentice
End-point assessment organisations can record the outcome of the assessment on the service
Improved visibility of apprentice and payments information for support team
Improved reporting for providers
Jul - Sept 18
Pilots begin for employers who don't pay the levy
Enhanced content and guidance for employers and providers
Employer and apprentice feedback on provider MVS introduced on Find apprenticeship training
Search for a provider by name on Find apprenticeship training
Incentive payments shown in employers' accounts
Display or refund transactions
Improvements to make data matching easier for employers and providers
A more streamlined process for employers and providers to enter apprentice details
Develop API hub to allow 3rd parties to integrate vacancy search and posting
Oct 18 - Mar 19
Employers can post and manage vacancies
Improvements to access levels for employers
Sub accounts for employers
Improved support service with access to a greater range of help channels
Apr 19 onwards
Employers who don't pay the levy can manage funding through the apprenticeship service
Improved marketing and dynamic content for employers, providers, apprentices and end-point assessment organisations
Payments made to end-point assessment organisations through the apprenticeship service


Apprenticeship Service Roadmap
July - Sept 18
Improvements to make data matching easier for employers and providers
A more streamlined process for employers and providers to enter apprentice details
Improvements to adding apprentices and matching data
Making it easier for employers and providers to enter, confirm and amend apprentice records on the service.
Improvements we are testing include
Allowing bulk uploads of apprentice data for employers
Bulk uploads for notifying changes of circumstance
Allowing employers to designate providers that they will repeatedly work with who can start the data input themselves
Evaluating the ways in which data matching could be improved
Allowing more flexibility in the way that apprentice data can be displayed
Better information for providers when apprentices are not receiving payments due to stopped apprentice records or data match errors


Apprenticeship Service Roadmap
Done or coming soon
Tasks – in-service alerts for employers
Changes can be made to apprentices until successful data match
Apprentice search
Improved content and support pages for employers and providers
Employers can download transactions
Public sector reporting within the account
Funding projection tool for employers – version 1 currently being piloted
Employers will be able to see when funds are due to expire
Apr - Jun 18
Enhanced forecasting including modelling
Transfers estimating tool to support planning of transfers
Employers can transfer funds
Start and end date reflected from the ILR in the employer's account
Update organisation details
Employers can see the end-point assessment organisation for each apprentice
End-point assessment organisations can record the outcome of the assessment on the service
Improved visibility of apprentice and payments information for support team
Improved reporting for providers
Jul - Sept 18
Pilots begin for employers who don't pay the levy
Enhanced content and guidance for employers and providers
Employer and apprentice feedback on provider MVS introduced on Find apprenticeship training
Search for a provider by name on Find apprenticeship training
Incentive payments shown in employers' accounts
Display of refund transactions
Improvements to make data matching easier for employers and providers
A more streamlined process for employers and providers to enter apprentice details
Develop API hub to allow 3rd parties to integrate vacancy search and posting
Oct 18 - Mar 19
Employers can post and manage vacancies
Improvements to access levels for employers
Sub accounts for employers
Improved support service with access to a greater range of help channels
Apr 19 onwards
Employers who don't pay the levy can manage funding through the apprenticeship service
Improved marketing and dynamic content for employers, providers, apprentices and end-point assessment organisations
Payments made to end-point assessment organisations through the apprenticeship service

Apprenticeship Service Roadmap
July - Sept 18
Employer and apprentice feedback on provider MVS introduced on Find Apprenticeship Training
Employer and apprentice feedback on providers
• Employers and apprentices will be able to provide feedback on training providers
• Feedback will be shown in Find Apprenticeship Training in real time
• Work is being carried out to determine the form this will take

Apprenticeship Service Roadmap

Done or coming soon

- **Tasks** – in-service alerts for employers
- Changes can be made to apprentices until successful **data match**
- **Apprentice search**
- **Improved content** and support pages for employers and providers
- Employers can **download transactions**
- **Public sector reporting** within the account
- **Funding projection tool** for employers – version 1 currently being piloted
- Employers will be able to see when **funds are due to expire**

Apr - Jun 18

- **Enhanced forecasting** including modelling
- **Transfers estimating** tool to support planning of transfers
- Employers can **transfer funds**
- **Start and end date** reflected from the ILR in the employer's account
- **Update organisation details**
- Employers can see the **end-point assessment organisation** for each apprentice
- End-point assessment organisations can record the **outcome of the assessment** on the service
- Improved **visibility** of apprentice and **payments information** for support team
- **Improved reporting** for providers

Jul - Sept 18

- Pilots begin for employers who **don't pay the levy**
- **Enhanced content** and guidance for employers and providers
- **Employer and apprentice feedback on provider MVS** introduced on Find apprenticeship training
- Search for a **provider by name** on Find apprenticeship training
- **Incentive payments** shown in employers' accounts
- Display of **refund** transactions
- Improvements to make **data matching** easier for employers and providers
- A more streamlined process for employers and providers to **enter apprentice details**
- Develop **API hub** to allow 3rd parties to integrate vacancy search and posting

Oct 18 - Mar 19

- Employers can **post and manage vacancies**
- **Improvements to access levels** for employers
- **Sub accounts** for employers
- **Improved support service** with access to a greater range of help channels

Apr 19 onwards

- **Employers who don't pay the levy can manage funding** through the apprenticeship service
- **Improved marketing** and dynamic content for employers, providers, apprentices and end-point assessment organisations
- **Payments made to end-point assessment organisations** through the apprenticeship service

Apprenticeship Service Roadmap

April 19 onwards

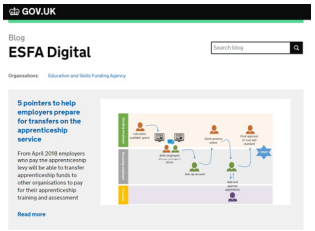
- **Employers who don't pay the levy can manage funding** through the apprenticeship service

Employers who don't pay the levy will be able to manage funding through the apprenticeship service

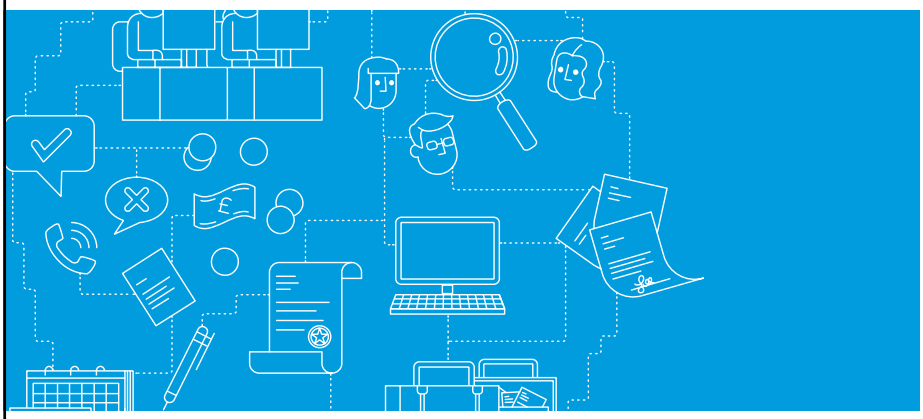
- Pilots will begin over the Autumn of 2018
- Non-levy payers will be able to access the service from April 2018 if they are in receipt of a transfer
- **Features for non-levy payers will include**
  - improved content and a single source of information,
  - a streamlined set of tools to support employers in choosing a standard, training provider and EPAO,
  - clear information on funding and tools to estimate cost
  - Tools to support employers in recruiting an apprentice

Further Information

- Follow **@ESFADigital** on Twitter
- Set up web alerts on GOV.UK for our **ESFA Digital Blog** (**https://sfadigital.blog.gov.uk**) and monthly **Business Update** newsletter
- **Queries about the apprenticeship service:** 08000 150 600
- helpdesk@manage-apprenticeships.service.gov.uk
  Available : 8am – 10pm (everyday)



National Apprenticeship Service



FUNDING AND MONITORING REPORTS

Areas being monitored in 2017/18 and tips to resolve

24 April 2018

THE POWER OF BEING UNDERSTOOD
AUDIT | TAX | CONSULTING

RSM

WHAT IS THE ESFA LOOKING AT

- The Education and Skills Funding Agency (ESFA) monitor the data reported to them in the individualised learner record (ILR) and other sources, such as the earnings adjustment statement (EAS), Student Loans Company (SLC) and Learning Records Service (LRS).
- This desktop review of how the funding system and funding rules are operating allows them to identify possible errors in funding claimed that require further investigation.
- They contact providers who have the most issues, or the most issues in proportion to the volumes of learners they have, to better understand their processes and to offer advice and guidance where necessary.

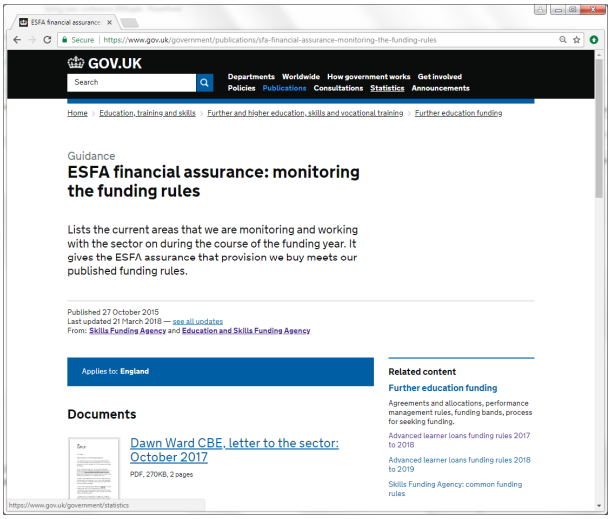
97

ESFA BIRST REPORTS

- The ESFA provides a suite of 30 funding monitoring reports which support their 2017 to 2018 monitoring plan.
- These reports do not replace the provider data self-assessment toolkit (PDSAT): providers must continue to use the PDSAT to review data returns and correct any issues before their next ILR data submission.
- The two sets of reports are designed with some overlap to highlight any necessary corrections.
- All reports relate to adult, Apprentice and Loans funding only.

98

WHY ARE THEY IMPORTANT?



https://www.gov.uk/government/publications/sfa-financial-assurance-monitoring-the-funding-rules

Key points:

If you have data errors or a higher volume of queries at the end of the funding year following the closure of the R14 ILR return, the ESFA may:

- Recover funding
- Conduct assurance visits before reconciliation statements are issued
- Select the provider for audit in future funding years

Funding Assurance Audit will follow up at the request of the ESFA

99

KEY BIRST REPORTS

Report No. 11: Overlapping programmes being delivered across multiple providers (apprenticeships and traineeships) BIRST NAME: Overlapping programmes	Identifies instances where learners appear to be (or have) undertaken the same learning at multiple providers at the same time
	1. Withdraw / transfer learners in a timely manner 2. Confirm with apprentice which provider they want to continue with 2. Agree who the learner is actually enrolled with, you or your subcontractor 3. If no learning has taken place, remove the record from the ILR
	The Agency may take steps to recover funding where the duplication is with the same provider

100

KEY BIRST REPORTS

Report No. 14: Small Employer Waiver BIRST NAME Small Employer Waiver	Identifies records where the small employer identifier has been recorded, but where other supporting information indicates that the employer has more than 49 employees
	1. Retain all initial evidence obtained that the employer is eligible for waiver 2. Make sure you do the same check for all subsequent enrolments.
	The Agency will recover funds where you cannot prove that the employer is eligible

101

KEY BIRST REPORTS

Report No. 15: Recording co-investment payments BIRST NAME: Recording co-investment payments DSAT REPORT 18A-212	Identifies apprenticeship programmes where co-investment is expected (subject to exceptions) but there are no employer payment records in the ILR.
	1. Make sure that you have invoiced the employer 2. Liaise regularly with your Finance Department 3. Keep all evidence of credit control processes
	The Agency will not pay the completion payment if insufficient co-investment has been collected Growth requests may also be declined

102

KEY BIRST REPORTS

Report No. 17 Apprentices who are also being funded for English and/or maths provision through the Adult Education Budget BIRST NAME: English and maths learning aims in AEB DSAT REPORT 18A-209	Identifies learners commencing any level of English and/or maths learning aim within the adult education budget having already started an apprenticeship programme on or after 1 May 2017. 1. Make sure that you have coded all English and maths correctly as part of the apprenticeship 2. If the learner has transferred from AEB to apprenticeship make sure that you have withdrawn the learner from all AEB aims The Agency will recover funds if data is recorded incorrectly

103

KEY BIRST REPORTS

Report No. 30: Apprentices studying English or maths at level 1 or below BIRST NAME: English and maths below level 2 PDSAT REPORT 18A-207	Identifies learners undertaking level 1 or below in English and/or maths within any apprenticeship standard or an apprenticeship framework starting on or after 1 May 2017. 1. Make sure you can evidence prior attainment in English and maths 2. Keep evidence of initial diagnostics The Agency will recover funds if they believe that ineligible funding has been claimed

104

SOME FINAL THOUGHTS

- Make sure you run, review, investigate and correct your PDSAT reports each month
- Just because your PDSAT reports are clear don't assume your BIRST reports will be
- Don't wait until the end of the year to look at your BIRST reports
- Expect that 16-19 reports will be produced at some point….

105

Final Q&A

Future training events

Visit www.lsect.com to find out more and register

#SDC18

LSECT LEARNING & SKILLS EVENTS, CONSULTANCY & TRAINING