

Essential update - apprenticeship funding for 2018/19

22 August 2018

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Agenda

- 10.30 **Apprenticeship funding rules 2018/19**
The key changes, additions and 'clarifications' (with plenty of time for Q&A)
- 12.00 Break for refreshments
- 12.15 **Supporting employers with the new levy transfer facility**
How it works, the rules and data requirements
- 13.00 Break for lunch
- 13.50 **Profiling framework and standard starts in 2018/19**
How to apply the funding rules and 30 funding bands in practice
- 14:50 **Key tips for ESFA audit and Ofsted inspection in 2018/19**
Both agencies are beefing up their apprenticeship oversight
- 15.30 Workshop end

Apprenticeship funding rules 2018/19

The key changes, additions and 'clarifications' (with plenty of time for Q&A)

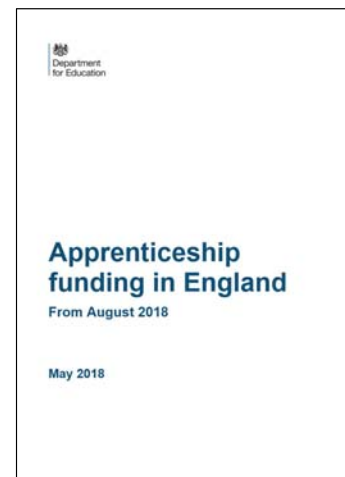
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Policy update published in May

"At this time, we have looked to prioritise stability for the market, and these are minor adjustments to support employers, providers and apprentices."

So it appeared there were only two 'minor' adjustments

1. Funding bands double to 30 with ongoing review of 31 existing standards
2. £1,000 bursary payment to support care leavers aged 16-24



<https://www.gov.uk/government/publications/apprenticeship-funding>

Funding bands changes

IfA actively reviewing 31 standards, and so far we know...

| Standard | Current band | IfA recommending | Shift | |
|---|--------------|------------------|---------|------|
| Hairdressing L2 | £9,000 | £7,000 | -£2,000 | -22% |
| Customer service L2 | £4,000 | £3,500 | -£500 | -13% |
| Team leader L2 | £5,000 | £4,500 | -£500 | -10% |
| Operations manager L5 | £9,000 | £7,000 | -£2,000 | -22% |
| Chartered manager degree | £27,000 | £22,000 | -£5,000 | -19% |
| Retailer L2 | £5,000 | £4,500 | -£500 | -10% |
| Professional accounting taxation technician | £9,000 | £8,000 | -£1,000 | -11% |

Will need to be signed off by minister and then it's 2 months notice. So I would expect change for starts from 1 November at earliest

<https://www.gov.uk/government/publications/apprenticeship-funding>

New £1,000 bursary for care leavers

Paid to provider in full at 60 days from start date and must be given in full to apprentice within 30 days. Apprentice must sign to say they received it and it is provider responsibility they only ever receive it once

"You record care leavers using the Learning delivery funding and monitoring type 'EEF' (Eligibility for enhanced apprenticeship funding) and code 4 'Entitlement to extended funding'"

LDM code 362: This code should be used to identify apprentices who do not wish their employer to be informed that they are a care leaver.

For non-levy funded apprentices, this funding comes from the non-levy allocation

<https://www.gov.uk/government/publications/apprenticeship-funding>

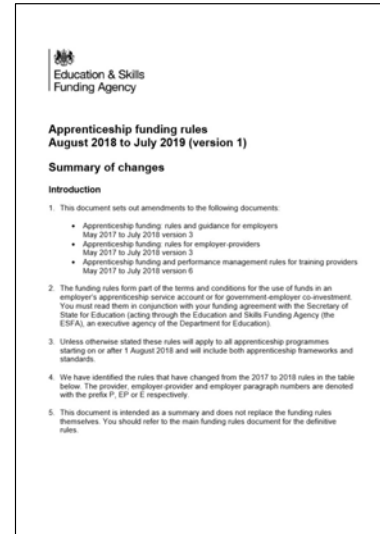
Funding rule changes published in July

But the 17 page summary of changes document contains a lot of important detail

| Change type (excl. restructure) | No. |
|--|-----|
| Clarifications | 58 |
| New rules | 15 |
| Rule changes | 3 |
| New evidence requirements | 4 |
| And ESF rules for non-levy apprentices | |

I'll cover the parts that I think are most important

<https://www.gov.uk/government/publications/apprenticeship-funding-rules-2018-to-2019>

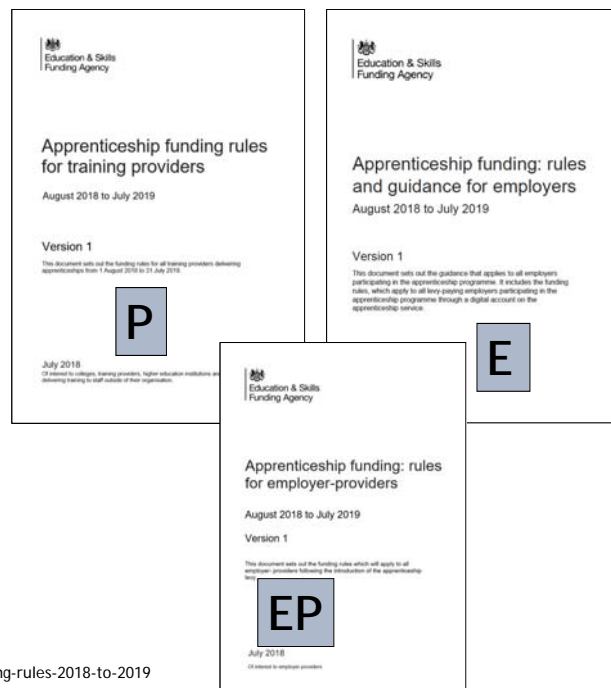


Three rule books

- Training provider
- Employer-provider
- Employer (levy paying)

Remember: if you are a training provider employing your own apprentices then the employer-provider rules will apply (no profit allowed)

<https://www.gov.uk/government/publications/apprenticeship-funding-rules-2018-to-2019>



The 15 new rules

1. Statutory leave should be deducted from 20% off-the-job calculation for starts from 1 August [P32]
2. Membership fees, even for mandatory qualifications, not fundable [P97.1]
3. Eligibility evidence must be in evidence pack before additional payments claimed [P102]
4. Apprentices must give consent to inform an employer they have an EHC plan and evidence (including letter or email from LA for care leavers) needs to be in evidence pack [P103]
5. If 19-24 apprentices does not give consent to tell employer they were in care you can claim funding but no incentive will be paid to the employer a the co-investment waiver cannot be applied [P104]

The 15 new rules

6. Provider must evidence (signed email or letter from LA appointed personal advisor) that apprentice is eligible for new care leaver bursary before making a claim [P111]
7. Apprentice must sign a declaration to confirm they want to receive the care leaver bursary, not been paid it before and if found it has been paid incorrectly the they will be required to repay it [P112]
8. It is the responsibility of the provider to ensure an individual is only ever paid the care leaver bursary once [P113]
9. Signed consent is needed from the apprentice to inform employer they are a care leaver and that the declaration will be used to generate additional payments to the provider and employer [P114]

The 15 new rules

10. ESFA pay provider the care leaver bursary 60 days after start and provider must pass it on in full within 30 days of receiving it [P116]
11. The provider must have a signed confirmation from the apprentice they received the bursary (receipt of transaction not enough) [P117]
12. Subcontractor declaration needs updating in-year for any changes [P189]
13. Assessment of apprentices existing knowledge, skills and behaviours required for the apprenticeship must be in the evidence pack [P202]
14. Persons granted leave under section 67 of Immigration Act 2016 is eligible to receive funding and is exempt from the three-year residency requirement rule [P310.7]
15. Residency requirements for persons granted stateless leave [P318-321]

3 rule changes

1. The requirement for the apprentice to stay with the employer after the apprenticeship has been achieved, or be supported to seek alternative employment, has been removed.
2. Removal of previous requirements regarding education, health and care (EHC) plan as this no longer affects eligibility
3. Subcontracting declaration is now at least twice per year via the online skills funding service, including for nil returns [P188]

4 new evidence requirements

1. Where exceptional learning support (ELS) is claimed, copies of the application and supporting evidence for the claim [P287.1]
2. Evidence for claiming the care leaver bursary [P288]
3. Where subcontracting is taking place, the evidence pack must include an up to date written agreement with each employer that includes the information about the delivery of the apprenticeship programme [P291.2]
4. Where an apprentice is made redundant the provider must keep a copy of the redundancy note [P292]

ESF match funding requirements

“We have also included a section on match funding requirements for the European Social Fund (ESF), which will apply to all apprentices funded via the non-levy route from 1 August 2018.”

<https://www.gov.uk/government/publications/apprenticeship-funding>

“If you have a contract with us to deliver training to employers who do not pay the levy you may be accessing funding that can be used as match funding for the European Social Fund (ESF).”

Provision used as match funding will be subject to ESF compliance checks and we will review the evidence you have to support claims made to us to support the programme funding.”

<https://www.gov.uk/government/publications/apprenticeship-funding-rules-2018-to-2019>

ESF match funding requirements

You must read these rules in conjunction with the ESF 2014 to 2020 funding rules and adhere to the following requirements: ”

- > Display an ESF poster prominently in your premises.
- > Have Gender Equality and Equal Opportunities and Sustainable Development policies and action plans in place.
- > Inform all apprentices that they are on a programme part financed by ESF.
- > Retain documentation for audit including having in place a document retention policy that reflects the minimum date requirement of 31 December 2030
- > Participate in evaluations, surveys and reporting as required.
- > Return complete data in line with the 2018 to 2019 ILR specification with key focus to critical fields. Critical fields are: employment status, prior attainment, **household situation**, destination, learner contact details

“You must keep to the rules of the ESF programme or you will break the conditions of your contract and this could result in us recovering funds.”

Household indicator in the ILR (needed for non-levy)

“Only change in version 3 is recorded against the Household situation indicator, the collection requirements have been expanded to include non-levy funded apprenticeships.”

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/715492/ILRSpecification2018-2019v3.pdf

“Data about a learner’s household situation must be collected in the form of a self-declaration from the learner and should be signed by the learner to confirm that it is correct. An example self-declaration is below, this can be included in your enrolment form or similar document and can be captured electronically”

Example learner self-declaration

Please tick which of the following statements apply (one or more may apply):

1. No member of the household in which I live (including myself) is employed
 2. The household that I live in includes only one adult (aged 18 or over)
 3. There are one or more dependent children (aged 0-17 years or 18-24 years if full-time student or inactive) in the household
 4. None of these statements apply
- OR
5. I confirm that I wish to withhold this information

Learner signature.....

Date.....

| Response selected | HHS code |
|-------------------|---------------|
| Option 1 only | HHS2 |
| Option 2 only | HHS99 |
| Option 3 only | HHS99 |
| Option 4 only | HHS99 |
| Option 5 only | HHS98 |
| Options 1 and 2 | HHS2 |
| Options 1 and 3 | HHS1 |
| Options 2 and 3 | HHS3 |
| Options 1,2 and 3 | HHS1 and HHS3 |

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/728764/ProviderSupportManual_18_19_v1.pdf

58 clarifications

Here are a few of my highlights (1 of 3):

- > Off the job rule applies in 'practical period' which ends at gateway [P31]
- > "The content/components of all planned off-the-job training must be set out in the apprentice's commitment statement and evidence must be available to support the delivery of the commitment statement. It should be clear which elements of the commitment statement have been used towards the calculation of the 20% requirement and which have not" [P33]
- > New apprenticeship agreement template available, although this version doesn't have to be used: <https://tinyurl.com/y86znnuv> [P38.3]
- > 365 day min duration relates to practical period, so for a standard it must come before gateway - hence ILR minimum is 372 days [P45 & P155]

58 clarifications

Here are a few of my highlights (2 of 3):

- > Apprentice cannot be charge for anything before, during or after [P63.4]
- > The £150 per month learning support can be claimed via the EAS for those without a diagnosis (provider discretion) [P75]
- > Time spent by employees/managers supporting or mentoring apprentices is only an eligible cost when "directly linked to the apprenticeship training and assessment, including end-point assessment, and be in addition to generic line management responsibilities." [P93.7]
- > No inducements, to anyone... [P98]

58 clarifications

Here are a few of my highlights (3 of 3):

- > The disadvantage uplift should be used on costs to support the apprentice's training, for example on travel costs or personal support... [P108]
- > You must contract with the EPA org that has been selected by the employer and lead the relationship with them including where you subcontract the delivery of apprenticeship training [P151]
- > Expanded section on accounting or prior learning - including work experience where they are an existing employee. Boils down to: if they have any it needs knocking off the price and if they have so much they don't need a year or 20% off the job then it's ineligible [P197 - 202]

Performance management rules

For pre-May 2017 starts and non-levy allocations to March 2019

- Growth requests had to be received by 3 August 2018
- Providers told outcome of requests 19 September 2018

ESFA has since said they would be extending allocations beyond March 2019 as they transition to getting non-levy employers onto the Apprenticeship System

<https://www.gov.uk/government/publications/apprenticeship-funding-rules-2018-to-2019>



Education & Skills
Funding Agency

Apprenticeship performance-management rules for training providers

August 2018 to March 2019

Version 1

This document sets out the performance-management rules for all training providers with non-levy procured funding and apprenticeships carry-in funding.

August 2018

Of interest to colleges, training providers, higher education institutions and employer-providers.

Supporting employers with the new levy transfer facility

How it works, the rules and data requirements

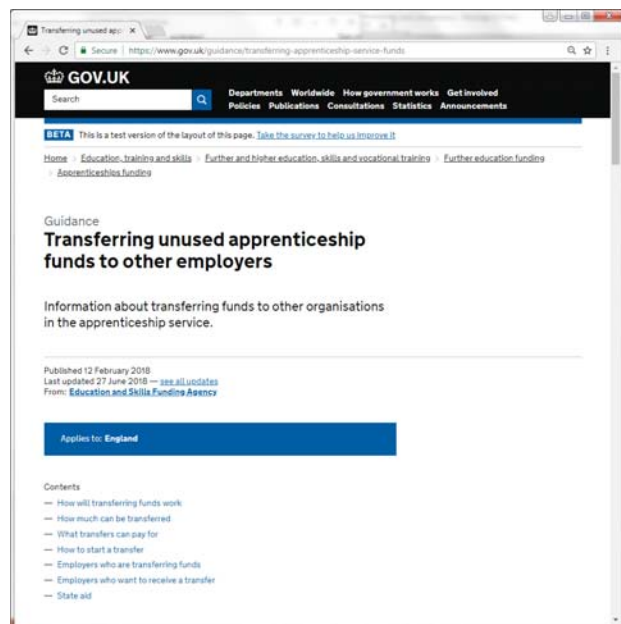
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Levy transfers

Levy paying employers can transfer up to 10% of their annual funds to multiple non-levy employers

Transfer value = total levy declared in previous year less English % plus the 10% top-up

Funds are only transferred once all the details of the apprentice are recorded on the apprenticeship system, and it's paid monthly



<https://www.gov.uk/guidance/transferring-apprenticeship-service-funds>

Levy transfers

Some key points:

- > This facility can only be used for standards (not frameworks)
- > Transfer payments leave the apprenticeship service account first, each month
- > If the transferring employer runs out of funds the receiving employer must make the 10% co-investment contribution
- > The receiving employer cannot be the training provider

<https://www.gov.uk/guidance/transferring-apprenticeship-service-funds>

Apprenticeship Service

Employers can see their annual transfer allowance in the apprenticeship service

And can use a tool to see what the transfer allowance could afford to fund

Note: unused allowance is not carried forward to the next tax year

The screenshot shows the 'Manage apprenticeships' interface. The main heading is 'Transfers'. Below it, a purple box displays '£8,775 Remaining transfer allowance'. A link labeled 'Estimate' leads to a tool titled 'Estimate apprenticeships you could fund'. The tool's description says: 'Use this tool to see how many apprenticeships you can fund from your own account or how much of your unused funds you could transfer to another employer.' A green 'Start' button is visible. Below the tool, there is text explaining that employers can connect with other employers to transfer up to 10% of their previous year's annual funds, and that they must read and understand the 'rules for sending and receiving transfers' and sign an updated organisation agreement with ESFA.

<https://manage-apprenticeships.service.gov.uk/>

Transfer funding rules (P228 - P237)

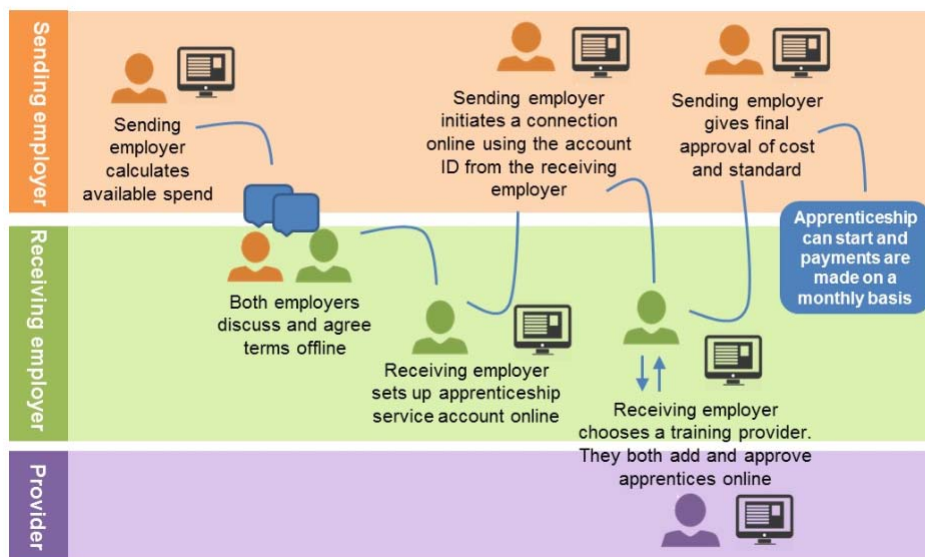
“Where receiving employers fund apprenticeships with transferred funds they are treated as levy-paying employers and therefore must follow the Apprenticeship Funding Rules for Employers for these apprenticeships”

“If you are a main provider who is also a levy-paying employer, you must not deliver training to apprentices you are funding through a transfer. This includes where you are acting as a main provider or a subcontractor.”

“You must not agree a commitment on the apprenticeship service where the apprenticeship would be eligible for support for small employers.”

<https://www.gov.uk/government/publications/apprenticeship-funding-rules-2018-to-2019>

Transfers user journey



<https://sfadigital.blog.gov.uk/2018/06/26/5-pointers-to-help-employers-prepare-for-transfers-on-the-apprenticeship-service/#comments>

The image shows two YouTube video thumbnails. The left thumbnail is titled "Apprenticeship levy transfers" and features the Education & Skills Funding Agency logo and the Apprenticeships logo. The video title is "Transferring apprenticeship service funds" with 2,757 views. The right thumbnail is titled "Apprenticeship service: adding apprentices funded by a transfer" and also features the Education & Skills Funding Agency logo and the Apprenticeships logo. A red arrow points from the right thumbnail back to the left one.

<https://youtu.be/uES4-dRxDYo>

<https://youtu.be/4jcUqiStyA4>

Data requirements

There is nothing specific to this policy within the ILR specification

The ESFA treats the receiving employer as a levy paying employer (ACT 1)

All the data requirements specific to the transfer take place in the Apprenticeship System

Once the non-levy employer is registered on the Apprenticeship System be careful to only use it for transfer funding, and not to start any co-funded apprentices

<https://www.gov.uk/government/publications/apprenticeship-funding-rules-2018-to-2019>

Profiling framework and standard starts in 2018/19

How to apply the funding rules and 30 funding bands in practice

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Technical funding guide

Updated in July 2018 to include the 30 funding bands and care leaver policy

| For starts from 1 August 2018 | | For starts between 1 May 2017 and 31 July 2018 | |
|-------------------------------|--------------|--|--------------|
| Band Number | Band Maximum | Band Number | Band Maximum |
| 1 | £1,500 | 1 | £1,500 |
| 2 | £2,000 | 2 | £2,000 |
| 3 | £2,500 | 3 | £2,500 |
| 4 | £3,000 | 4 | £3,000 |
| 5 | £3,500 | 5 | £3,500 |
| 6 | £4,000 | 6 | £4,000 |
| 7 | £4,500 | 7 | £5,000 |
| 8 | £5,000 | 8 | £6,000 |
| 9 | £6,000 | 9 | £9,000 |
| 10 | £7,000 | 10 | £12,000 |
| 11 | £8,000 | 11 | £15,000 |
| 12 | £9,000 | 12 | £18,000 |
| 13 | £10,000 | 13 | £21,000 |
| 14 | £11,000 | 14 | £24,000 |
| 15 | £12,000 | 15 | £27,000 |
| 16 | £13,000 | | |
| 17 | £14,000 | | |
| 18 | £15,000 | | |
| 19 | £16,000 | | |
| 20 | £17,000 | | |
| 21 | £18,000 | | |
| 22 | £19,000 | | |
| 23 | £20,000 | | |
| 24 | £21,000 | | |
| 25 | £22,000 | | |
| 26 | £23,000 | | |
| 27 | £24,000 | | |
| 28 | £25,000 | | |
| 29 | £26,000 | | |
| 30 | £27,000 | | |

<https://www.gov.uk/government/publications/apprenticeship-technical-funding-guide>

 Education & Skills
Funding Agency

Apprenticeship technical funding guide for starts from May 2017

Version 4

This document sets out the technical details of the funding system used to fund apprenticeship frameworks and standards starting on or after 1 May 2017.

July 2018

Of interest to colleges, training providers, higher education institutions and employers delivering training.

| *Reminder* | Levied employers | Non-levied employers |
|------------|---|---|
| | Definition | |
| | On Digital Apprenticeship System (ACT1) | Not on Digital Apprenticeship System (ACT2) |
| | In theory, annual UK payroll £3m+ else a transfer funded receiving employer | In theory, annual UK payroll less than £3m and not a transfer funded receiving employer |
| | Levy credit calculated monthly based on 0.5% above £3m payroll for English employees + 10% | Employer relies on finding a provider with available funding allocation |
| | If no levy credit then co-investment model applies where employer pays provider 10% | Co-investment model applies where employer pays provider 10% |
| | No allocations (not even for co-investment) and ESFA pay for English and maths and incentives | Allocation required to fund everything (incl. English and maths and incentives) |

| *Reminder* |
|---|
| Working out if employer should be levied or not |
| HMRC advice was that if employer payroll was £2.8m or more last year then they should register for paying the levy |
| The government will not identify which employers are levied. So you will have to do your own homework. Companies House and Charity Commission might be a good place to start. |
| For example, in etc venues accounts to June 2015 their payroll was £7m (all England) |
| $(£7m \times 0.005) - £15,000 = £20,000$ $£20,000 / 12 = £1,667$ monthly tax $£1,667 \times 1 \times 1.1 = £1,883$ monthly credit $£1,883 \times 12 = £21,996$ annual levy credit |
| For example, BBC accounts say in 2015/16 their payroll was £990m (let's assume 80% for England) |
| $(£990m \times 0.005) - £15,000 = £4,935,000$ $£4,935,000 / 12 = £411,250$ monthly tax $£411,250 \times 0.8 \times 1.1 = £361,900$ monthly credit $£361,900 \times 12 = £4,342,800$ annual levy credit |
| If their monthly pot runs out they switch to 10% cash contribution in return for 90% SFA funding. Unused levy pots fund non-levied employers plus top-up, incentives, English & maths etc (is the theory) |

Reminder**Funding bands for all starts from 1 May 2017**

Every framework pathway and standard is assigned one of 30 funding bands

The value of the band is referred to the upper-limit, and providers may choose to offer the apprenticeship at a lower 'negotiated' rate

For example, accounting framework at level 2 has a band limit of £2,000.

| Levied employer | Non-levied employer |
|--|--|
| From their levy account they pay £2,000 (£133 per month for 12 months and the remaining £404 for completion in month 13) | With no levy account they pay £200 (10%). £13 per month for 12 months and £40 for completion in month 13 |

However a provider may offer it for £1,800 over 14 months

| Effective From | Effective To | Band Number |
|----------------|--------------|-------------|
| 08/05/2018 | 31/07/2018 | 8 |
| 01/08/2018 | | 9 |

| Category | Effective From | Effective To | Band No | 15-16 Provider Additional Payment | 15-16 Employer Additional Payment | 15-16 Care Leaver Payment | Duration | Max Employer Levy (Levy) | Standard Funding Band |
|----------------------------|----------------|--------------|---------|-----------------------------------|-----------------------------------|---------------------------|----------|--------------------------|-----------------------|
| Accounting from 08/05/2018 | 08/05/2018 | 31/07/2018 | 8 | 1000 | 1000 | 0 | 18000 | 5000 | 8 |
| Accounting from 01/08/2018 | 01/08/2018 | | 9 | 1000 | 1000 | 0 | 18000 | 5000 | 9 |

<https://hub.fasst.org.uk/Learning%20Aims/Pages/default.aspx>

Reminder**Other funding factors** (not funded by levy credit but would come out of non-levy allocation)

£1,000 employer incentive for 16-18s and 19-24s who have previously been in care or who have a Local Authority Education, Health and Care plan. Paid to employers in two equal instalments at 3 months and 12 months. This will be paid to the provider and must be passed on to the employer within 30 working days

£1,000 provider incentive for 16-18s and 19-24s who have previously been in care or who have a Local Authority Education, Health and Care plan (plus for one year an extra 20 per cent of the upper limit for frameworks). Paid to providers in two equal instalments at day 90 (3 months) and day 365 (12 months).


£1000 for care leavers, paid to provider 60 days from start and must be paid in full to apprentice within 30 days.

No levy or employer contribution for 16-18s and 19-24s who have previously been in care or who have a Local Authority Education, Health and Care plan at employers with fewer than 50 staff

For additional learning support the SFA will pay providers up to £150 a month, plus additional costs based on evidenced need

Additional provider payments for apprentices who live in the top 27% deprived areas. £600 for top 10% of deprived areas, £300 for next 10% range and £200 for the next 7% range

English and maths at level 1 and 2 funded directly by the SFA at £471 for each qualification (no separate funding for ICT)



Demo of my apprenticeship
funding calculator - 2018/19
edition

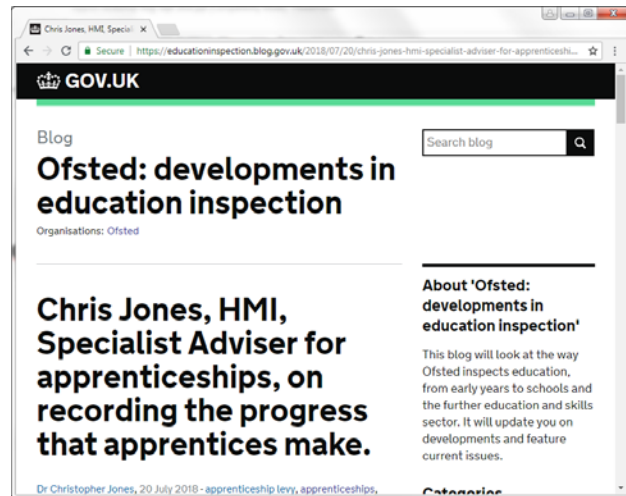
Key tips for ESFA audit and Ofsted
inspection in 2018/19

Both agencies are beefing up their apprenticeship oversight

Ofsted blog (1 of 3)

“Because most apprenticeship standards have no qualifications, inspectors and providers must be clear about the different ways of measuring achievement. As inspectors, we need to consider what these changes mean for inspection practice.”

- Set a baseline
- Record progress



<https://educationinspection.blog.gov.uk/2018/07/20/chris-jones-hmi-specialist-adviser-for-apprenticeships-on-recording-the-progress-that-apprentices-make/>

Ofsted blog (2 of 3)

“Providers need to evaluate what apprentices know about, and can do, when they start their apprenticeship. They need to measure the apprentice’s progress against the knowledge, skills and behaviours set out in the standard and assessment plan. We see providers asking apprentices to note their occupational knowledge, experience and their level of confidence as they start their apprenticeship, followed by a skills test in English and mathematics.

This approach sets a **‘baseline’** for providers, employers and apprentices. How well apprentices gain knowledge and develop and improve skills all indicates progress. This helps to show that apprentices improve over time.”

<https://educationinspection.blog.gov.uk/2018/07/20/chris-jones-hmi-specialist-adviser-for-apprenticeships-on-recording-the-progress-that-apprentices-make/>

Ofsted blog (3 of 3)

“For example, what should an apprentice know about or do by their first progress review? What differences do we expect to see at the second review? What skills must apprentices show by the last review and before the end-point assessment?”

“Providers will need to check how they **record progress**. If the tools and software they use only focus on qualifications, they may need to find other methods to measure evidence of the standard specific knowledge, skills and behaviours.”

<https://educationinspection.blog.gov.uk/2018/07/20/chris-jones-hmi-specialist-adviser-for-apprenticeships-on-recording-the-progress-that-apprentices-make/>

Quality improving?

No evidence yet of a rising grade profile (see tables ->)

Ofsted, Deputy Director for FE said in May 2018: “We are concerned and want to avoid a Train to Gain-type programme being badged as an apprenticeship,” he told delegates.

“We are finding that providers are struggling with the implementation of some of these reformed programmes. There are examples where off-the-job training is still not demanding enough.”

| Apprenticeship inspection grade in year before levy (May 2016 - April 2017) | | | |
|---|----|-----|-----|
| Grade 1 | 11 | 6% | 54% |
| Grade 2 | 91 | 48% | |
| Grade 3 | 66 | 35% | 46% |
| Grade 4 | 21 | 11% | |

Total full inspections 189

| Apprenticeship inspection grade in year after levy (May 2017 - April 2018) | | | |
|--|----|-----|-----|
| Grade 1 | 8 | 5% | 55% |
| Grade 2 | 76 | 50% | |
| Grade 3 | 52 | 34% | 45% |
| Grade 4 | 16 | 11% | |

Total full inspections 152

ESFA audit

FM36 (New Apps)
references

Key areas:

- > Price and payment
- > Off-the-job training

| No | Test | Issue | Critical factor | References (see below for key) |
|----|--|---|--|---|
| 1 | Does evidence exist to confirm that the learner is eligible for ESFA funding? | i) Eligibility for funding | The learner satisfies the ESFA's eligibility criteria. | APPTP: P60 to P72, Annex A APPEP: EP61 to EP73, Annex A |
| 2 | Are the learner and employer eligible and has the programme been correctly identified and coded? | i) Age | Apprentices must be aged 15 or over and have legally left school. | APPTP: P61.1 APPEP: EP62.1 |
| 3 | | ii) Employed status | Apprentices must be employed (except those that satisfy the conditions for redundancy). There must be a genuine job within the employer and the apprentice must be paid a wage consistent with the law for the time they are in work and in off-the-job training. | APPTP: P28 to P31, P38, P39, P231 to P233, P243.15, P248 APPEP: EP29 to EP31, EP39, EP40, EP73, EP239, EP248.4, EP248.14 |
| 4 | | iii) Employment hours | Employers must confirm the hours worked per week or the agreed average weekly hours, including time spent on off-the-job training. All apprenticeship activity must be within paid hours. | APPTP: P49 to P52 APPEP: EP50 to EP53 |
| 5 | | iv) Apprenticeship training agencies (ATAs) | Only recognised ATAs can directly employ apprentices only to deliver an apprenticeship. | APPTP: P80 to P84 |
| 6 | Is the programme as designed eligible for funding and is the correct funding being claimed? | i) Negotiated price | Funds within the employers digital account or government employer co-investment are used for funding evidenced eligible costs and activities within the agreed price, including any subcontracted delivery of training and on-programme assessment, up to the band maximum, and for training and end-point assessment. | APPTP: P85 to P94, P173 to P175, P189 to P194, P243.1 APPEP: EP81 to EP89, EP159 to EP169, EP231.1 APPTFG: 12, 13 |
| 7 | | | | |

<https://www.gov.uk/government/publications/sfa-financial-assurance-funding-assurance-review-programmes> FM36

ESFA audit Price and payment

3i) Negotiated price

"Funds within the employers digital account or government employer co-investment are used for funding evidenced eligible costs and activities within the agreed price, including any subcontracted delivery of training and on-programme assessment, up to the band maximum, and for training and end-point assessment (required for apprenticeship standards) as recorded in the written agreement."

8i) Payment of employer co-investment

"The employer co-investment recorded in the ILR is evidenced by a transfer of funding visible in the provider's (or subcontractor's) financial systems; this will typically be in the form of a provider invoice and corresponding employer payment for a provider. For an employer-providers, they must evidence how the costs are calculated."

<https://www.gov.uk/government/publications/sfa-financial-assurance-funding-assurance-review-programmes> FM36

ESFA audit Off-the-job training

2iii) Employment hours

Employers must confirm the hours worked per week or the agreed average weekly hours, including time spent on off-the-job training. All apprenticeship activity must be within paid hours.

3xi) Off-the-job training

“The evidence pack must contain details of how the 20% off the job training will be quantified and delivered.”

6ii) Learning activity

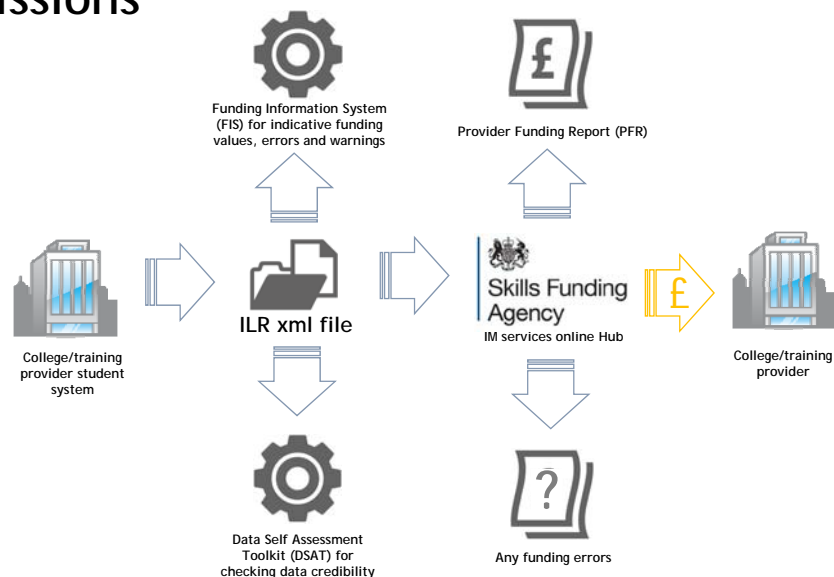
“The learner's continued participation in learning (including English and maths) is confirmed by evidence of learning activity from the start date of each aim up to the learning actual end date or to date, as applicable.”

<https://www.gov.uk/government/publications/sfa-financial-assurance-funding-assurance-review-programmes> FM36

Four strands to evidence requirement:

1. Calculated
2. Timetabled
3. Monitoring delivery of timetable
4. Was 20% threshold met at point of entry into Gateway or end of framework

Data submissions



App Period End Reports

The screenshot shows the 'Data Returns' page on the HM Government portal. A red arrow points from a yellow notification box to the 'Data Returns' tab in the navigation menu. A callout box lists five reports:

- 10000948 Apps Additional Payment Report 20180808-005229.csv
- 10000948 Apps Co-Funding Contributions Report 20180807-164818.csv
- 10000948 Apps Monthly Payment Report 20180807-163849.csv
- 10000948 Period End Funding Summary Report 20180807-190022.xls
- 10000948 R12 Apprenticeship Data Match Report 20180807-152712.csv

The main content area shows a table with the following data:

| Collection Name | Status | Last submitter | Last submitted Date/Time | Return Number | Freeze/Close Date |
|-----------------|-----------|----------------|--------------------------|---------------|-------------------|
| 1718_ILR | Open | | | R13 | 14/09/2018 |
| 1718_EAS | Submitted | | 25/07/2018 04:06:02 PM | EAS | 19/10/2018 |

A yellow notification box states: "R12 period end apprenticeship reports are now available." Below it, the 'Latest Reports' section shows a report titled "10000 Apps Period End Reports 20180808-005350.xls" dated 08/08/2018 5:32:23 PM.

Provider Self-Assessment Toolkit

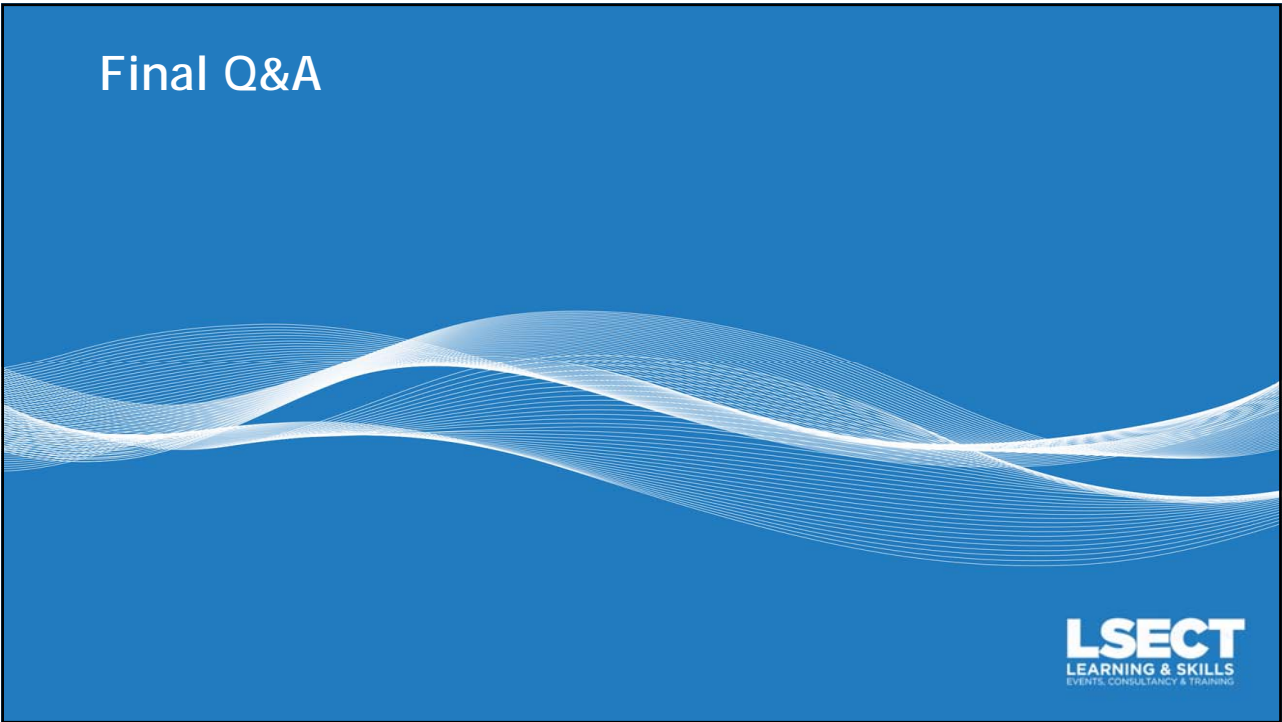
The screenshot shows the PDSAT interface. The 'Returns' sidebar is open, and the 'Reports' section is selected. The 'Selected Return' is FIS-10000948-1718-20180725-153207. The 'Favourites Group' is set to 'None'. A 'Run' button is visible. The main area displays a list of reports with checkboxes and record counts:

| Report ID | Report Name | Record Count |
|----------------------------------|--|--------------|
| <input type="checkbox"/> 18A-108 | All learners and learning aims within the new apprenticeship programme | |
| <input type="checkbox"/> 18A-201 | 19+ apprentices with full funding claimed | |
| <input type="checkbox"/> 18A-202 | 19+ apprentices with enhanced or extended funding | |
| <input type="checkbox"/> 18A-203 | Apprenticeship frameworks minimum duration exceptions | |
| <input type="checkbox"/> 18A-204 | Apprenticeship standards minimum duration exceptions | |
| <input type="checkbox"/> 18A-205 | Apprentices and trainees with co-funding | |
| <input type="checkbox"/> 18A-206 | Employment status exceptions | |
| <input type="checkbox"/> 18A-207 | Apprentices undertaking level 1 or below in English and/or maths within an apprenticeship | |
| <input type="checkbox"/> 18A-208 | Negotiated prices as a proportion of funding band maxima | |
| <input type="checkbox"/> 18A-209 | Apprentices funded for English and/or maths within the adult education budget | |
| <input type="checkbox"/> 18A-210 | Apprentices withdrawing from the programme soon after attracting an additional payment | |
| <input type="checkbox"/> 18A-211 | Apprentices that withdraw from existing programmes and restart in funding model 36 | |
| <input type="checkbox"/> 18A-212 | Recording co-investment payments | |
| <input type="checkbox"/> 18A-213 | Functional skills at level 2 or below in an apprenticeship having already achieved level 2 | |
| <input type="checkbox"/> 18A-301 | Traineeships with incorrect or no work placement aims | |
| <input type="checkbox"/> 18A-302 | Traineeships with no work preparation aims | |
| <input type="checkbox"/> 18A-303 | Traineeship enrolments where previous learning indicates unsuitability or ineligibility | |
| <input type="checkbox"/> 18A-304 | Traineeships with flexible elements but no core aims | |

A pie chart in the 'Data Overview' section shows funding model distribution: FM25, FM35, FM36, and FM99.

<https://www.gov.uk/government/publications/ilr-data-check-that-it-meets-standards-and-quality-requirements>

Final Q&A



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