Apprenticeship funding – essential guide

11:00 – 13:30

14 July 2022

> Nick Linford, author of the Complete Guide to Funding Apprenticeships

LSECT LEARNING & SKILLS EVENTS, CONSULTANCY & TRAINING

1

Webinar agenda

Warning
Technical training

11:00 – 13:30

1. Apprenticeship policies update – including Covid flexibilities
2. Apprenticeship rules update (2022/23)
3. Funding formula and profiling
4. Dynamic apprenticeship funding calculator
5. Apprenticeships and the ILR in 2022/23
6. Apprenticeship funding audit (incl. DSATs) for 2021/22
7. Final funding clinic Q&A

All slides, a recording of this webinar and the calculator will be sent to attendees

2

Apprenticeship policies update

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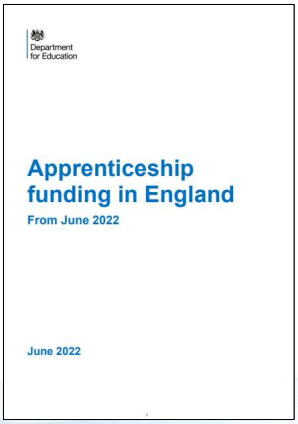
Annual policy document

"The start date for the updated apprenticeship funding policy is 1 June 2022. In line with current policy, we will fund apprenticeships started on or after this date according to the apprenticeship funding rules in place on that date."

Await a new document and some key changes since

1. Some [Covid-19] flexibilities continue
2. £3k cash employer incentives ended (claims had to be in last month)
3. Increasing access to funding via online apprenticeship system for small employers now a priority for government


Department for Education

Apprenticeship funding in England

From June 2022

June 2022

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

4

Covid-19 flexibilities ended

19 January 2022

This publication was withdrawn on 1 April 2022

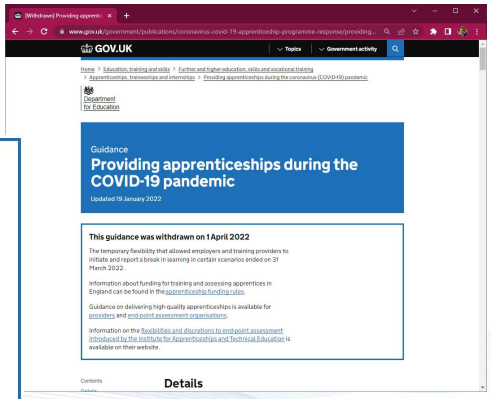
The temporary flexibility that allowed employers and training providers to initiate and report a break in learning in certain scenarios ended on 31 March 2022.

Information about funding for training and assessing apprentices in England can be found in the apprenticeship funding rules.

Guidance on delivering high-quality apprenticeships is available for providers and end-point assessment organisations.

Information on the flexibilities and discretions to end-point assessment introduced by the Institute for Apprenticeships and Technical Education is available on their website.

https://www.gov.uk/government/publications/coronavirus-covid-19-apprenticeship-programme-response#full-publication-update-history



https://www.gov.uk/government/publications/coronavirus-covid-19-apprenticeship-programme-response/providing-apprenticeships-during-the-covid-19-pandemic

But…

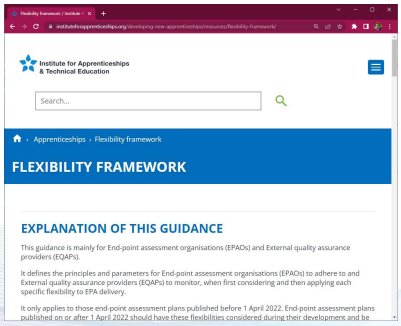
5

Seven EPA flexibilities became permanent

"From 1 January 2022 seven of the flexibilities (which apply to all apprenticeships) will be retained as permanent amendments"

Seven of the ten flexibilities will be retained as options to use beyond 1 April 2022. These are:

1. Observations taking place in simulated environments
2. Remote delivery of assessment (including invigilation)
3. Pauses being allowed between assessment methods during end-point assessment period
4. Assessments taking place outside of usual venues
5. Delivery of assessment methods in any order (when a specified order is in the assessment plan)
6. Exams/tests being online instead of on paper (where originally specified as paper-based only)
7. Gateway sign off being done remotely (were originally specified as having to be face to face)



https://www.instituteforapprenticeships.org/developing-new-apprenticeships/resources/flexibility-framework/

"It only applies to those end-point assessment plans published before 1 April 2022. End-point assessment plans published on or after 1 April 2022 should have these flexibilities considered during their development and be built into the published version where applicable."

6

Small employer reservation reset

8. Information: resetting reservation levels for employers who do not pay the apprenticeship levy from 1 June 2022

From 1 June 2022, the reservation levels for employers who do not pay the apprenticeship levy will be reset, enabling each of these employers to make up to 10 new reservations on the apprenticeship service to fund new starts.

This reset will give employers who do not pay the levy greater certainty over their recruitment plans for the year ahead. It is made in recognition of the important role that SMEs play in creating apprenticeship opportunities, particularly for younger people and those in disadvantaged areas.

Any reservations made before 1 June 2022 will not be affected and will not count against the new reservation levels from this date.

https://www.gov.uk/government/publications/esfa-update-1-June-2022/esfa-update-further-education-1-june-2022#information-resetting-reservation-levels-for-employers-who-do-not-pay-the-apprenticeship-levy-from-1-June-2022

The reservation period for employers who do not pay the apprenticeship levy continues to be 3 months. "This means funds can be reserved for 3 months before the apprenticeship is planned to start."

7

Achievement rates update

"For 2021 to 2022, education and training, apprenticeships and traineeships QARs are to be published at provider level. This is a change from 2019 to 2020 and 2020 to 2021, when we confirmed that we would not publish any provider-level QARs in response to Covid19."

"We will produce provider level QARs and share these securely Ofsted."

"We will not calculate timely QAR".

Department for Education

Apprenticeship qualification achievement rates technical specification 2021 to 2022

Version 1.0

June 2022

https://www.gov.uk/government/publications/qualification-achievement-rates-2021-to-2022

5. Information: qualification achievement rates

We have now published the following documents for Qualification Achievement Rates (QAR) 2021 to 2022 on GOV.UK:

- qualification achievement rates business rules 2021 to 2022
- apprenticeship qualification achievement rates technical specification 2021 to 2022
- traineeship qualification achievement rates technical specification 2021 to 2022
- education and training qualification achievement rates technical specification 2021 to 2022

These documents provide technical information about how we produce the QAR dataset and should be read alongside the business rules, which explain the methodology for calculating QARs for 2021 to 2022.

As referenced in the business rules, we will be sharing with providers in-year QAR data via the View Your Education Data portal. In preparation for accessing the data, please ensure you have the correct IDAMS user access. The IDAMS user guides provide detail for creating access or checking your user permissions.

If you have any questions, please contact us using our online enquiry form.

https://www.gov.uk/government/publications/esfa-update-8-june-2022/esfa-update-further-education-8-june-2022#information-qualification-achievement-rates

8

Achievement rate target

From 51.8% to 67%...but 5 years to achieve it

	Achievement Rate		
	2018/19	2019/20	2020/21
Total	65.1%	57.5%	57.7%
Framework	69.2%	68.1%	68.9%
Standard	47.4%	45.2%	51.8%

Retention (drop-out) is the problem

Overall retention and pass rates for all levels between 2018/19 and 2020/21			
	2018/19	2019/20	2020/21
Leavers	294,990	270,470	275,380
Pass Rate	98.5%	97.9%	98.1%
Retention Rate	66.1%	58.7%	58.8%

Minister writes to sector on 29 June

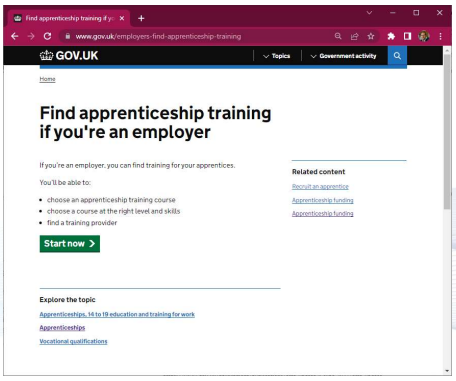
I am setting a stretching ambition to reach a 67% achievement rate on apprenticeship Standards by 2025. I have set out below how Government is going further to support this aim, which will result in thousands more apprentices reaping the benefits associated with achieving. We know that improving achievements is not something we can do overnight, particularly as we continue to recover from the impact of the pandemic, and reaching this ambition will require a strong collective effort from all involved in delivering the programme. The actions we are taking to support this include:

- Launching later this summer the next phase of our provider workforce development programme, providing free resources to leaders, teachers and trainers and helping to spread effective practice. The first phase was launched in January 2021 and has received extremely high user satisfaction rates, with over 4,000 participants to date. If you haven't already, you can enrol on the programme at https://pdp.etfoundation.co.uk/.
- Offering targeted support for employers to be great employers of apprentices, building on the resources we have already made available. This includes our Employer Quality Roadmap which provides guidance on what employers need to be doing at each stage of the apprenticeship, working with their provider.
- Making sure apprentices get the best possible advice and support at every stage of their programme, supported by new digital accounts we have created for apprentices. As part of this we have revamped our 'Find an Apprenticeship' website and continue to invest in careers advice so that apprentices know what to expect from the outset and are making informed choices.
- Launching a new exit feedback tool for apprentices who have withdrawn, to enable us to better understand reasons for non-completion. In time we want this to evolve so we can better predict those at risk of withdrawal allowing us to target direct support as needed.
- Reviewing whether there is further data we can publish to equip employers and providers with the information they need to improve achievements.

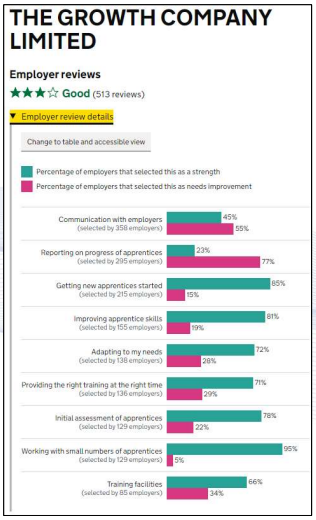
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1086993/Letter_to_providers_FINAL_290622.pdf

9

Enhancements to 'Find apprenticeship training if you're an employer'

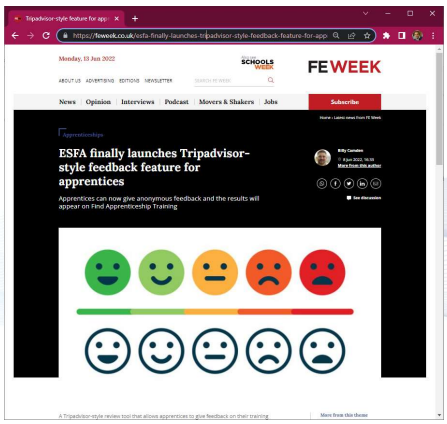


https://www.gov.uk/employers-find-apprenticeship-training



10

Apprentice feedback being added to tool



https://feweek.co.uk/esfa-finally-launches-tripadvisor-style-feedback-feature-for-apprentices/

7. Information: a new way to gather apprenticeship feedback

We have launched a new feature where apprentices can give feedback about their training. Allowing you to gather insights to help further develop your training programme.

Your apprentices can now give anonymous feedback from their My Apprenticeship account.

The apprentice will be asked to agree or disagree with 12 questions in the feedback survey. They will then be asked to rate their training from 'excellent' to 'very poor.'

Your apprentices can start giving feedback 3 months into their training and can update it every 3 weeks.

As a training provider, you will be able to review the feedback from your apprentices in Find apprenticeship training once 10 apprentices have responded.

Employers and apprentices will also be able to view your performance ratings. This new feedback feature will be invaluable in helping you provide the best training possible.

If you require additional support using the apprenticeship service, visit our help portal where you can access help articles.

https://www.gov.uk/government/publications/esfa-update-8-june-2022/esfa-update-further-education-8-june-2022#information-qualification-achievement-rates

Employer and apprentice feedback to be used as indicators in new 'accountability framework' (see next slide)

11

New apprenticeship Accountability Framework

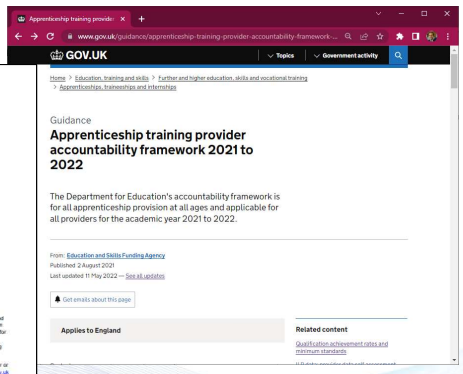
Quality and supplementary indicators

We will use the following data as indicators of the quality of your provision when considering intervention:

- outcomes from Ofsted reports based on our existing policy Ofsted Inspection and ESFA intervention
- achievement rates, including compared to other providers delivering similar standards or in similar sectors
- retention rates and withdrawals, including compared to other providers delivering similar standards or in similar sectors
- employer ratings of providers on the apprenticeship service
- apprentice ratings of providers on the apprenticeship service (once this becomes available)

In addition to the above we will review further indicators to inform contract management decisions. These will be subject to change but may include:

- off-the-job training data (planned and actual hours)
- learners past their planned end date
- unusual changes to delivery patterns
- breaks in learning
- when apprentices are registered with an end-point assessment organisation



"We continue to welcome feedback on how we can make the specification clearer or better to understand. Please email feedback to provider.strategy@education.gov.uk by 1 September 2022. We will take the feedback received into consideration when we next update the specification."

https://www.gov.uk/guidance/apprenticeship-training-provider-accountability-framework-20212022

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Apprenticeship intervention thresholds (replacing Minimum Standards)

Table 1: Quality and supplementary indicators and thresholds

Indicator	At risk	Needs improvement
Quality indicators		
Outcomes from Ofsted reports	Organisations graded as inadequate by Ofsted for "apprenticeships" (or inadequate for "overall effectiveness" under its FE and skills remit where there is no separate apprenticeship grade) or an 'Insufficient progress' outcome at an apprenticeship new provider monitoring visit	
Achievement rates as calculated as part of Qualification Achievement Rates (QAR)	All age apprenticeship achievement rate of less than 50%	All age apprenticeship achievement rate greater than or equal to 50% and less than 60%
Retention rates as calculated as part of Qualification Achievement Rates (QAR)	All age apprenticeship retention rate of less than 52%	All age apprenticeship retention rate greater than or equal to 52% and less than 62%
Withdrawals	Of total number of apprentices, percentage of withdrawals is greater than 35%	Of total number of apprentices, percentage of withdrawals is less than or equal to 35% and greater than 15% OR where the number of apprentices identified as withdrawn is greater than 250
Employer feedback as collected via the Find Apprenticeship Training Service		Average feedback less than 2.5
Apprentice feedback		
Supplementary indicators		
Off The Job Training (OTJT) as collected via FRM37 report of Financial Assurance: Monitoring post-16 funding for 2021 to 2022 - GOV.UK (www.gov.uk)	Based on the FRM37 report, greater than 20 records OR one or more apprentices reported with 0 planned hours OR 0 actual hours (on apprenticeship completion)	Based on the FRM37 report, greater than 15 records for planned hours OR one or more records for actual hours

Indicator	At risk	Needs improvement
Learners Past Planned End Date	Of total number of apprentices, the percentage of apprentices past planned end date by 365 days or more is greater than 15%	Of total number of apprentices, the percentage of apprentices past planned end date by =>180 days and <365 days is greater than 15% OR where the number of apprentices identified is greater than 250
Breaks in learning	Of total number of apprentices, the percentage of apprentices identified on a break in learning by 365 days or more is greater than 15%	Of total number of apprentices, the percentage of apprentices identified on a break in learning by =>180 days and <365 days is greater than 15% OR where the number of apprentices identified is greater than 250
End Point Assessment Organisation Data	Apprentices where there is no End Point Assessment Organisation identified within 3 months of planned end date	Apprentices where there is no End Point Assessment Organisation identified within 3 to 6 months of planned end date

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1078727/Apprenticeship_Accountability_Framework_Technical_Specification_2021_to_2022.pdf

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Types of intervention

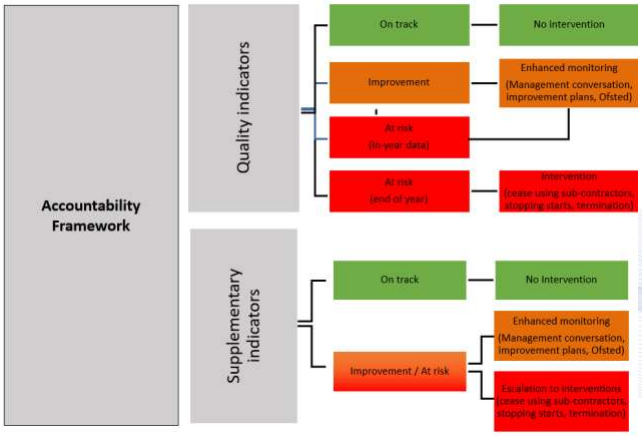

Table 2: illustrative examples of potential interventions

The list of potential interventions below is not an exhaustive list of available interventions and is included for illustrative purposes only.

Type of intervention	Description
Enhanced monitoring	Likely to include the provider being required to produce a quality improvement plan which will be challenged on reasonable progress and evidence of impact. More regular meetings to discuss planned improvements and/or impact of mitigating actions taken by the provider and in-year reporting of progress.
Conditions of funding/additional contractual obligations.	Likely to include improvement targets, usually linked to the provider's own improvement plans. Failure to meet the target(s) could result in termination or more conditions. May include restrictions on recruitment. This could be stopping starts on an apprenticeship standard or all starts. Restrictions would usually be time-based or linked to further reviews of quality indicators. Possible restrictions on sub-contracting. Could be used to remove the ability to sub-contract, especially where management of sub-contracting is evidenced as poor.
Termination	Used where the provider has demonstrated that they are incapable of improving, either through poor management or an inability to change within a reasonable timescale.

ESFA have been doing webinars about this - but all very new

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1078727/Apprenticeship_Accountability_Framework_Technical_Specification_2021_to_2022.pdf

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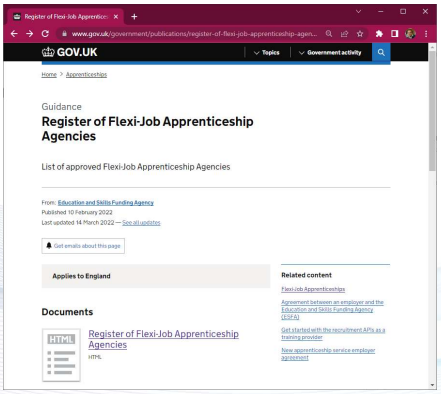
Register of Flexi-Job Apprenticeship Agencies

Flexi-Job Apprenticeships

Flexi-Job Apprenticeships have been designed to ensure that those sectors and occupations where short-term contracts or other non-standard employment models are the norm can access the benefits of apprenticeships. They will be available to employers and apprentices in two ways:

a. With the involvement of a Flexi-Job Apprenticeship Agency: where an agency employs the apprentice directly for the duration of their apprenticeship but arranges placements for the apprentice with host businesses.

b. Without the involvement of an agency: where the apprentice is able to secure multiple short employment contracts directly with businesses that support the requirements of the apprenticeship. Supported by their training provider, the apprentice takes their learning and progress with them as they move between employment contracts and change employers. This model is often described as a Portable Flexi-Job Apprenticeship.



https://www.gov.uk/government/publications/register-of-flexi-job-apprenticeship-agencies

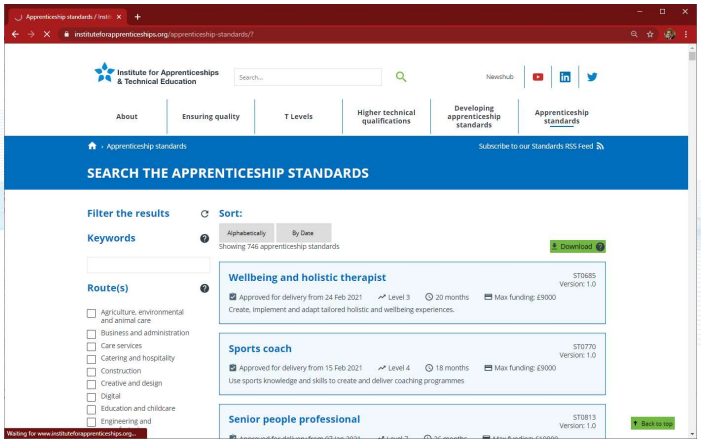
"Following an assessment process, we have admitted 16 organisations onto our Register of Flexi-Job Apprenticeship Agencies. In addition, we have awarded a total of £5m in funding to 11 of these organisations."

15

Standards being 'approved for delivery' all the time

649 apprenticeship standards approved for delivery

A further 57 apprenticeship standards in development



https://www.instituteforapprenticeships.org/apprenticeship-standards/

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Eligible costs review concluded

Eligible Costs:

As a result of the Eligible Costs review, we have made initial assessment an eligible cost and have expanded on, and added more examples to, some of the current eligible costs. We have also added to the ineligible costs list too. We will shortly report back to the sector to formally conclude the review.

More on this later

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1079296/2223_Summary_of_Changes_Draft_Final.pdf

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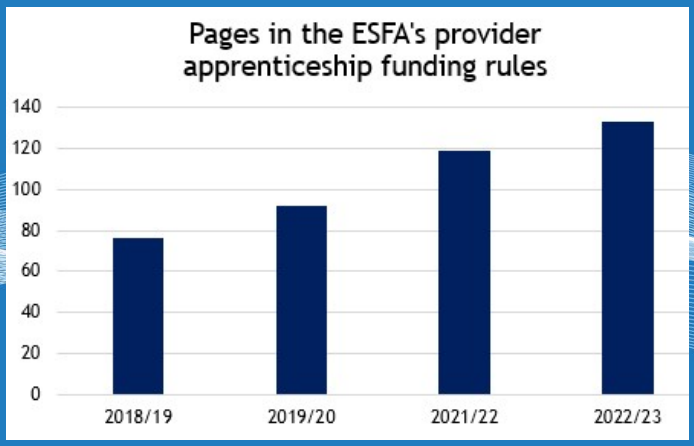
Funding rule changes for 2022/23



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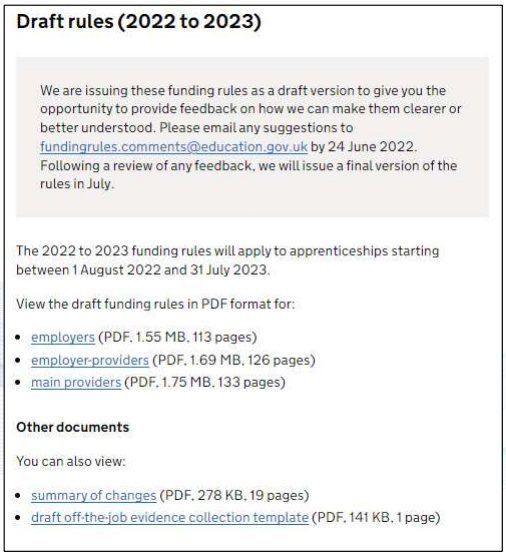
Three rule books again for 2022/23

- Main providers
- Employer-providers
- Employers (levy paying)

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



Draft rules (2022 to 2023)

We are issuing these funding rules as a draft version to give you the opportunity to provide feedback on how we can make them clearer or better understood. Please email any suggestions to fundingrules.comments@education.gov.uk by 24 June 2022. Following a review of any feedback, we will issue a final version of the rules in July.

The 2022 to 2023 funding rules will apply to apprenticeships starting between 1 August 2022 and 31 July 2023.

View the draft funding rules in PDF format for:

- employers (PDF, 1.55 MB, 113 pages)
- employer-providers (PDF, 1.69 MB, 126 pages)
- main providers (PDF, 1.75 MB, 133 pages)

Other documents

You can also view:

- summary of changes (PDF, 278 KB, 19 pages)
- draft off-the-job evidence collection template (PDF, 141 KB, 1 page)

https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

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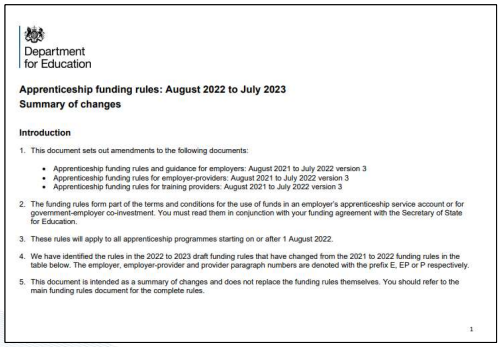
Summary of changes document

19 pages



Department for Education

Apprenticeship funding rules: August 2022 to July 2023
Summary of changes

Introduction

1. This document sets out amendments to the following documents:
   - Apprenticeship funding rules and guidance for employers: August 2021 to July 2022 version 3
   - Apprenticeship funding rules for employer-providers: August 2021 to July 2022 version 3
   - Apprenticeship funding rules for training providers: August 2021 to July 2022 version 3
2. The funding rules form part of the terms and conditions for the use of funds in an employer's apprenticeship service account or for government-employer co-investment. You must read them in conjunction with your funding agreement with the Secretary of State for Education.
3. These rules will apply to all apprenticeship programmes starting on or after 1 August 2022.
4. We have identified the rules in the 2022 to 2023 draft funding rules that have changed from the 2021 to 2022 funding rules in the table below. The employer, employer-provider and provider paragraph numbers are denoted with the prefix E, EP or P respectively.
5. This document is intended as a summary of changes and does not replace the funding rules themselves. You should refer to the main funding rules document for the complete rules.

1

"We have identified the rules in the 2022 to 2023 draft funding rules that have changed from the 2021 to 2022 funding rules in the table below. The employer, employer-provider and provider paragraph numbers are denoted with the prefix E, EP or P respectively."

"This document is intended as a summary of changes and does not replace the funding rules themselves. You should refer to the main funding rules document for the complete rules."

https://www.gov.uk/guidance/apprenticeship-funding-rules

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New rule for off-the-job

Off-The-Job Training:

From 1 August 2022 the off-the-job training policy will change. Currently an apprentice must train for a minimum of 20% of their own working hours; this means that an apprentice who works longer hours is potentially impacted by this link (i.e. higher working hours means a higher threshold for eligibility). From 1 August, the minimum volume of hours will no longer be linked to working hours; instead we will have a consistent figure, irrespective of the hours worked by the apprentice. This will be 6 hours per week (this figure was chosen as it represents 20% of 30 hours, which all part-time apprentices are currently doing). The 6 hours per week is for calculation purposes only; once calculated the programme can still be delivered flexibly.

This change must not dilute the existing requirement - to provide the right level of training to every apprentice. The volume of training that is delivered must be guided by the initial assessment of the apprentice and this may mean that an apprentice trains for more than 6 hours per week. This is a positive change, about simplification and fairness (particularly to those working longer working hours). 49% of audits indicate OTJ calculation issues and so we have strengthened some of the other rules in this area that are at the root of these issues.

New rules: We have amended the policy to remove the language of 20% of the apprentice's normal working hours. The new minimum off-the-job training requirement is 6 hours of off-the-job training per week for a full time equivalent (an individual who works 30 hours or more per week). We have included a minimum number of off-the-training hours for a 52 week programme.	P40 EP40 E33	From 1 August, the minimum volume of hours will be 6 hours per week. The 6 hours per week is for calculation purposes only; once calculated the programme can still be delivered flexibly. This change must not dilute the existing requirement; the volume of training that is delivered must be guided by the initial assessment and this may mean that an apprentice trains for more than 6 hours per week. 49% of audits indicate OTJ calculation issues and so we have strengthened some of the other rules in this area that are at the root of these issues.
Clarification: We have made it clear that despite the new minimum off-the-job training requirement, the volume of training hours delivered must be supported by the initial assessment. Some apprentices and standards may need more than the minimum requirement.	P41 EP41 E34	

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1079296/2223_Summary_of_Changes_Draft_Final.pdf

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Significant new rule for any price above cap

Total Negotiated Price:

Where your standard has a higher delivery cost than the assigned funding band (e.g. the funding band max is £10,000 but your delivery cost is £12,000) we no longer need you to report your delivery cost (i.e. the £12,000). The price you enter into the ILR and the apprenticeship service must be the funding band maximum minus the cost of any relevant prior learning you have agreed with the employer, minus any additional adjustment agreed with the employer (e.g. large cohort discount). The net effect of this change is that any savings (e.g. from RPL) are realised by the public purse rather than by the employer. The employer must still pay in full any difference between the top of the funding band and your delivery cost.

New rule: We no longer require the actual delivery cost of the apprenticeship on the ILR and the apprenticeship service, where this figure is above the funding band. The price that you enter into both the ILR and the apprenticeship service is the price that you are claiming from us (the top of the funding band minus the cost of any relevant RPL and any further discounts with the employer). You must enter the same price into the ILR and the apprenticeship service. You must make your own arrangements to collect any money due from the employer if the true value is above the funding band maximum.	P97 EP84 E82	employer has agreed it can do so). Where the agreed price of delivery is above the funding band, the difference must be set aside and dealt with separately. It must not be included in the price that you enter onto the ILR or the apprenticeship service. This is so any RPL savings are attributed to the public purse rather than to the employer.

The price of an apprenticeship

New for 1 August 2022

P196 - New rule: We no longer require the actual delivery cost of the apprenticeship on the ILR and the apprenticeship service, where this figure is above the funding band. The price that you enter into both the ILR and the apprenticeship service is the price that you are claiming from us (the top of the funding band minus the cost of any relevant RPL and any further discounts with the employer). You must enter the same price into the ILR and the apprenticeship service. You must make your own arrangements to collect any money due from the employer if the actual value is above the funding band max.

We have removed the rule that said the main provider must not offset the negotiated price with the costs of any service provided by the employer.

•https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

22

New rule for RAA usage

Recruit an apprentice	**Clarification:** Whilst it is not mandatory for employers to use Recruit an apprentice (RAA), it is a condition of funding for all providers to offer this service where applicable (e.g. for new recruits).	P21 EP- E14	RAA is currently used by ~76% of active providers; this causes issues for candidates looking for central repository of all opportunities. We need to improve usage and better understand any barriers.
	New rule: Where an employer has declined the use of Recruit an apprentice, you must record the reason for this in the evidence pack.	P21.2 EP21.2 E14.2	

New rule for initial assessment

Initial assessment (new section)	**New rule**: We have outlined the requirements of an initial assessment. This includes the requirement for there to be a direct link between the productive job role and the apprenticeship standard; and the requirement for the employer to provide the individual with the appropriate support and supervision, even where the apprentice is working from home.	P23 EP23 E16	The rule to require a direct link between job role and the apprenticeship has been added due to a recent investigation. The rule relating the support and supervision while working from home was added as a result of queries during Covid.

•https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

23

New rule – formula to adjust price for prior learning

Recognition of prior learning and experience	**New rules:** We have outlined what the assessment of prior learning activity must include. This includes a new formula that must be used to reduce the price that is agreed with the employer, to account for prior learning.	P24 EP24 E17	16% of audits record errors with taking into account prior learning when agreeing the total negotiated price, content and duration. The changes provide more detail on minimum activity required. The introduction of a formula to be applied for reducing the price of the apprenticeship, is in response for more clarity on how to decrease the price of the apprenticeship.

To reduce the total negotiated price you must:

P24.5.1 Calculate the percentage of prior learning that the learner has, as a percentage of the off-the-job training hours that you would deliver to an apprentice with no relevant prior learning for the same standard. For example, if the individual's prior learning accounts for 300 off-the-job training hours and typically, for the same standard, you would deliver 1,000 off-the-job training hours to an individual with no prior learning, this would equate to 30% prior learning.

P24.5.2 Reduce the price by at least 50% of the prior learning percentage, from the maximum funding band (the 50% reduction recognises fixed costs). For the example above, where the apprentice has 30% prior learning, this means there must be a reduction in price of at least 15% of the maximum funding band. This reduced price is the maximum that will be paid using apprenticeship funding (e.g. £8,500 for a £10,000 funding band).

P24.5.3 This new maximum funding amount becomes the starting point for further negotiation on price with the employer. Additional discounts could be applied, for example, where the apprentice is part of a large cohort.

•https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

24

Possibly the most important funding rule going into audit (more on audit later)

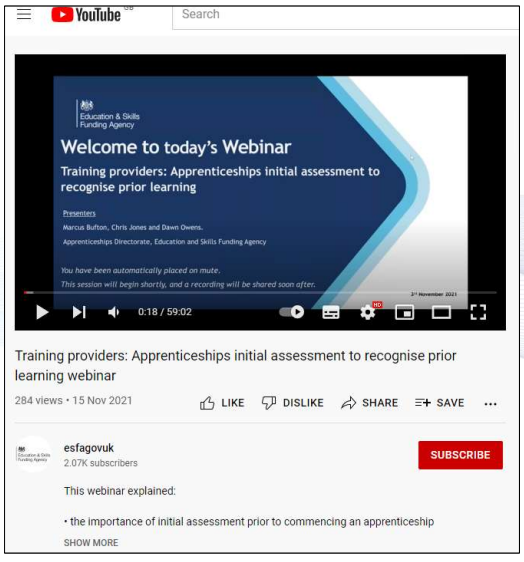
"You must account for prior learning and experience when negotiating a price with the employer. You must reduce the content, duration, and price, where the individual has prior learning necessary to achieve the apprenticeship. Funds must not be used to pay for skills already attained by the apprentice."

Why is P25 not highlighted as significant? Play it safe and document the agreement of no prior learning

P25	Where an assessment has been made and the result of this assessment is that no relevant prior learning exists, you must agree this with the employer and document this in the evidence pack before starting the apprenticeship.

25

Extra guidance on recognising prior learning



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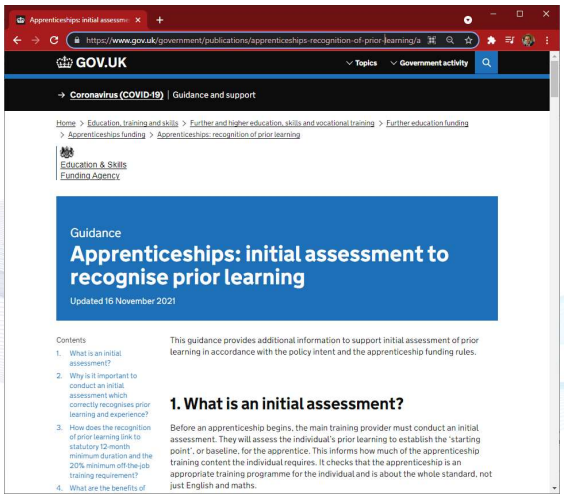


https://www.gov.uk/government/publications/apprenticeships-recognition-of-prior-learning/apprenticeships-initial-assessment-to-recognise-prior-learning

26

Term-time only OFTJ formula

Apprentices with term-time only contracts

P42 The off-the-job training requirement for an apprentice with a term-time only contract (e.g. those in the teaching profession) should be no less, as a minimum, than any other apprentice.

P42.1 Off-the-job training is calculated as though the apprentice is working 52 weeks per year (minus statutory leave). Once the calculation is made, the training can be delivered across the weeks specified in the contract (usually 39 contact weeks), if this is what has been agreed between the employer and provider. This will mean delivering more than the equivalent of 6 hours per week during term-time in order to meet the minimum requirements of the off-the-job policy.

•https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

27

Actual OFTJ hours now need collecting for all apprentices

New rule: We now require actual off-the-job training hours to be recorded for all apprentices where planned off-the-job training hours have been submitted; this includes current learners.	P44 EP44 E37	To aid compliance work.

"If planned off-the-job training hours have been submitted in the ILR for the apprentice, actual off-the-job training hours must also be documented in the ILR, at the end of the practical period or in the event of a change of circumstance; this includes current learners on programme as of 1 August 2022."

This is new - as currently actual off-the-job training hours are not required in the ILR if there has been a change of provider, change of programme or where an apprentice has been withdrawn from the programme or put on a break in learning.

•https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

28

New ‘insufficient progress’ rule for withdrawn apprentices

Insufficient progress against training plan

Where the apprentice is more than 4 weeks behind on the planned delivery of off-the-job training (against the training plan), and the training has not been replanned or the apprentice has not been put on a break in learning. The replanning of training must be agreed with the employer.

New rule: Funds would be at risk if you are not able to show, upon request, an up to date training plan and current progress towards this plan.	P45.3.3 EP45.3.3 E38.3.3

P45.3.3	Where the apprentice withdraws from the programme and they have made insufficient progress towards their training plan, then funds will be at risk of recovery. By insufficient progress we mean the apprentice is more than 4 weeks behind on the planned delivery of training, but the training has not been replanned or the apprentice has not been put on a break in learning. The replanning of training must be agreed with the employer.

•https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

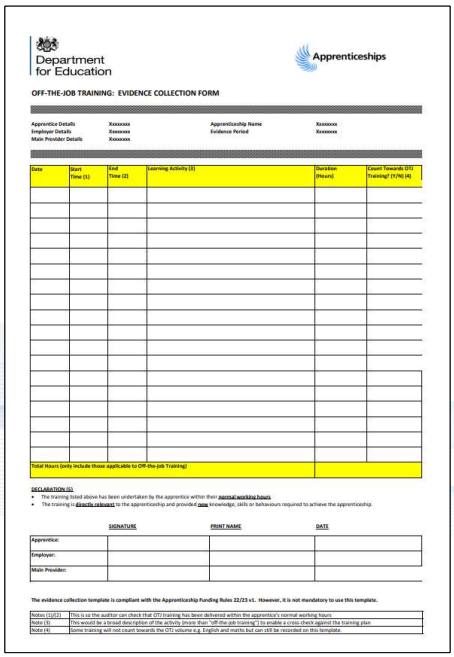
29

Evidence of OTJT

New rule: To confirm that the provider is responsible for retaining evidence to support both their own delivery and that of others. In both cases, evidence must be quantifiable and must meet the off-the-job training definition.	P46 EP46 E39

P46	You are responsible for retaining evidence to support both your own delivery and that of others.	
	P46.1	The evidence must be both quantifiable and must meet the off-the-job training definition, namely that the activity is directly relevant to the apprenticeship, teaches new knowledge, skills, and behaviours; takes place in the apprentice’s normal working hours; and is not English and maths up to Level 2.
		P46.1.1 A template evidence form is available on GOV.UK. It is not mandatory to use this template.

•https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023



Department for Education

Apprenticeships

OFF-THE-JOB TRAINING: EVIDENCE COLLECTION FORM

Apprentice Details	Xxxxxxx	Apprenticeship Name	Xxxxxxx
Employer Details	Xxxxxxx	Evidence Period	Xxxxxxx
Main Provider Details	Xxxxxxx		

Date	Start Time (1)	End Time (2)	Learning Activity (3)	Duration (Hours)	Count Towards OTJ Training? (Y/N) (4)

Commitment statement renamed the 'training plan'

New rule: The training plan must not include any content that has been identified, and agreed with the employer, as relevant prior learning.	P49.2 EP49.2 E42.2
New rule: The training plan should be agreed before any training is delivered	P49.3 EP49.3 E42.3

And "The training plan must be updated to include the end-point assessment organisation no later than 6 months before the learning planned end date."

ESFA has become very specific about what must be in the 'training plan', so read this section carefully

•https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

31

New section on 'progress reviews'

Progress reviews	**New rules**: We have added a progress review section and documented the minimum requirements of this activity.	P52-P53 EP52-53 E45-E46	We have added a new section for progress reviews, to guide what must be covered, due to queries and audit issues

P52 A progress review, to discuss the progress to date of the apprentice against their training plan, must be carried out every 8-12 weeks. This should be a three-way discussion involving the provider, employer, and the apprentice.

P52.1 This is different to the required monthly check associated with learning support funding (see paragraph P73.1).

P53 The minimum requirement of the progress review is that it will:

P53.1 Check progress against any actions agreed at the previous review, including any training that has been delivered since the last review;

P53.2 Check overall progress of the apprentice against their agreed training plan, documenting any slippage against the volume of planned off-the-job training;

P53.3 Allow for any off-the-job training evidence, that is outside of the provider's control, to be discussed, agreed, collected, or documented;

P53.4 Discuss any concerns that the provider, employer, or the apprentice has;

P53.5 Discuss any new information / potential changes of circumstance that might impact on the training plan. This could include any additional training required, or any additional prior learning or learning support needs that have come to light since the original initial assessment and or the last progress review. Changes to the training plan may require the price to be renegotiated;

P53.6 Provide for an opportunity to update the training plan (e.g. where it is necessary to replan any off-the-job training); and

P53.7 Agree and document actions for the next review. The record of the progress review must be signed and dated by all parties (apprentice, employer, provider).

https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

32

Line-manager required

New rule: To reflect that individuals who are self-employed as a sole trader are ineligible for funding (this previously said self-employed).	P67.2 EP67.2 E58.2	We have also received a high number of eligibility queries where there was no separate line manager and have reviewed our policy in relation to who we will fund. The role of the employer is key in an apprenticeship (i.e. on-the-job training, support and mentoring, agreeing the training plan, monitoring progress). We do not think this would be a quality apprenticeship without a separate, identifiable line manager.
New rule: To reflect that a shareholder / director with no separate identifiable line-manager to undertake the role of 'employer' is ineligible for funding. The same person must not sign the apprenticeship agreement as both the apprentice and the employer	P67.3 EP67.3 E58.3	

New rule: To reflect that if, during their programme, an apprentice becomes unemployed, self-employed as a sole trader, or becomes a shareholder / director with no separate identifiable person to undertake the role of employer, they will no longer be eligible for funding and must be reported on the ILR as having withdrawn from the apprenticeship.	P67.3.1 EP67.3.1 E58.3.1

https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

33

Initial assessment costs now eligible for funding (finally!)

Eligible costs	**New rule:** We have added initial assessment as an eligible cost.	P95.1 EP82.1 E80.1	Changes to the eligible costs list have been made as a result of the eligible and ineligible costs review, carried out in 2021.

P95 For main providers eligible costs for the delivery of training and on-programme assessment (that can be included in field "TNP1" on the ILR) are limited to the following:

P95.1 Initial assessment

P95.1.1 Initial assessment to confirm learner and programme eligibility (see paragraph P23).

P95.1.2 Administration related to the subsequent enrolment (onboarding) of the apprentice. This can include the collection of evidence to support the initial assessment, supporting the employer with their apprenticeship service account and to complete the apprenticeship agreement; and developing and agreeing the training plan with the employer and apprentice.

https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

34

Ineligible costs

New for 1 August 2022

P99 - New rules: We have restructured the section and added a number of new ineligible costs (for field TNP1) as a result of the eligible costs review – these costs did not previously appear in the funding rules. We have also tried to structure the ineligible costs, where possible, into provider costs and employer costs (and would welcome feedback on whether this is useful).

P99.8 - Clarification: We have expanded on the financial inducement information and provided examples.

P99.6 **Mock testing (relating to the end-point assessment)**

More focus on banning inducements

This year (20/21)

P108 You must not pay inducements, or any other payment not authorised by us, to an employer, another training provider or to an end-point assessment organisation in relation to any part of the apprenticeship programme.

Next year (22/23)

P99.8 **Financial inducements**

P99.8.1 You must not pay financial inducements, or any other payment not authorised by us, to an apprentice, employer, another training provider or to an end-point assessment organisation in relation to any part of the apprenticeship programme. This includes bonus payments to apprentices or employers for signing up and / or completing a programme; and where an employer who tenders for provision wants apprenticeship funding to pay for training extras in excess of the apprenticeship requirements.

https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

35

Significant English and math rule changes for level 2 aprens

	2022.		
Support for English and maths training	**Clarification:** We have clarified that English and/or maths must be provided for all apprentices where they do not have prior attainment in these subjects at level 2.	P123 EP103 E100	This addition is to reflect that we want apprentices to have the opportunity to achieve English and maths qualifications as part of their apprenticeship, up to and including Level 2 in these subjects. The change is in recognition that Level 2 English and maths is at least two levels of above the prior attainment for those who have not achieved a Level 1 on start. We want these apprentices to prioritise achieving Level 1 English and maths, and the overall apprenticeship. For Level 2 apprentices taking Level 2 Functional Skills assessments, apprentices must be given the opportunity to pass individual components of the Level 2 English Function Skills, so they can go on to complete the full qualification if they do not pass first time.
	New rule: To reflect the policy change that level 2 apprentices who do not have level 1 in English and maths must prioritise achieving level 1 in these subjects and are only required to work towards level 2 English and maths where they have time remaining to make meaningful progress, once they have achieved level 1. The requirement for apprentices assessed at level 1 but without a level 1 qualification to take level 2 before achieving level 1 has been removed.	P125.1 and 129.1 EP105.1 and 109.1 E102.1 and 106.1	
	Clarification: To reflect that apprentices must be assessed at level 2 for all three units of the English Functional Skills and the assessment for maths .	P129.2 EP109.1 E106.2	

This year (20/21)

P138.2 **Where the apprentice does not already hold approved level 1 qualifications, but is judged by the main provider to be working at level 1 standard in English / maths:**

Apprentices must start, continue to study and take the assessment for level 2 English and maths (Functional Skills level 2 or GCSE). If they do not achieve a level 2, you must then ensure they take the assessment for level 1 English and / or maths – this is because they must secure the level 1 qualification in order to complete their apprenticeship.

Next year (22/23)

P129.1 **Where the apprentice holds neither level 1 nor level 2 approved qualifications:**

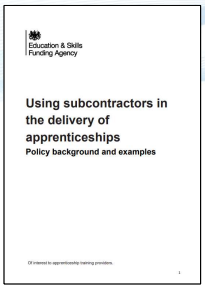
Apprentices must study towards and achieve English and maths qualifications of at least level 1 (Functional Skills level 1 or GCSE grade E or 2). Once level 1 (Functional Skills level 1 or GCSE grade E or 2) is secured, apprentices must work towards level 2 English and/or maths (Functional Skills level 2 or GCSE) where there is time to make meaningful progress (a minimum of three months remaining prior to gateway).

https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

36

New subcontracting rules

Contracting and subcontracting	**New rule:** The main provider must not only deliver elements taught by online or distance learning.	P163 EP143 E139	-
	New rule: In accordance with your ESFA contract(s), you must meet the ESFA subcontracting standard as detailed in the subcontracting standard guidance (the auditors guidance is currently in development and an update will follow). The external audit report must now be submitted via the ESFA document exchange (rather than by email).	P187 EP166 E-	Updated to include the reference to the new standard.



Unchanged since 2018

https://www.gov.uk/government/publications/apprenticeships-subcontracting

P163 You must directly deliver some of the apprenticeship training and / or on-programme assessment associated with each employer's apprenticeship programme. By apprenticeship programme, we mean all of the apprentices that you have been contracted to deliver training to, on behalf of any one employer, irrespective of occupational area, standard or level.

P163.1 The volume of training and / or on programme assessment that you directly deliver for each employer must have some substance and must not be a token amount to satisfy this rule. It must include delivery of off-the-job training (i.e. new knowledge, skills, and behaviours relevant to the standard).

P163.2 It must not be limited to a brief input at the start of each employer's programme or involve delivery to just a few of a large number of apprentices. It does not include simply delivering English or maths, elements only taught by online or by distance learning, or aspects of the apprenticeship which all apprentices must have, such as safeguarding or British values.

P163.3 You can find further information in the document Using Subcontractors in the Delivery of Apprenticeships.

https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

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Only one resit fundable

New rule: We are limiting the costs associated with this area to one re-sit.	P95.4.2 EP82.4.2 E80.4.2	Additional resits would be for the employer to fund.

Update your evidence pack requirements/processes

Evidence Pack (Introduction)	**Update**: Where funding rules have been updated, the corresponding evidence pack requirements have also been reviewed and updated where necessary.	P318-P353 EP305-338 E-	Providers / employer-providers should read the evidence pack carefully.

Evidence pack requirements section now runs to 14 pages!

https://www.gov.uk/guidance/apprenticeship-funding-rules#draft-rules-2022-to-2023

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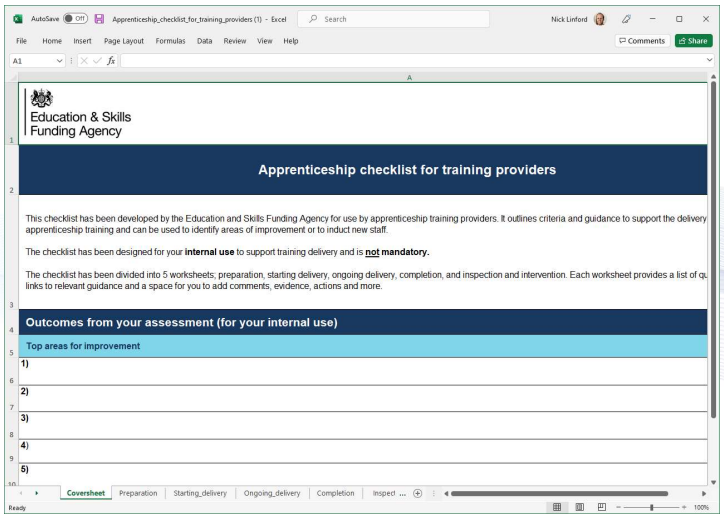
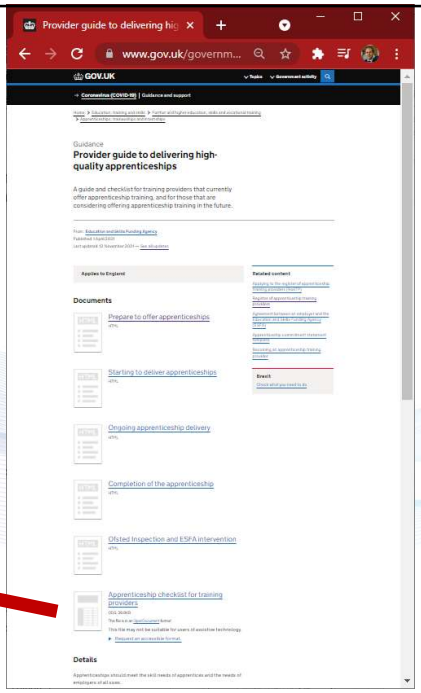
Helpful(?) guides - including checklist





https://www.gov.uk/government/publications/provider-guide-to-delivering-high-quality-apprenticeships

39

Profiling standard starts in 2022/23

[No formula changes but keep an eye on funding cap rates changes and associated dates]

LSECT LEARNING & SKILLS EVENTS, CONSULTANCY & TRAINING

40

Reminder

Levied employers	Definition ACT1	Non-levied employers
On Digital Apprenticeship System		Now on Digital Apprenticeship System
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%		Co-investment model applies where employer pays provider 5%
If no levy credit then co-investment model applies where employer pays provider 5%		Up to 10 starts permitted per non-levy employer
No allocations (not even for co-investment) and ESFA pay for English and maths and incentives		No allocations (not even for co-investment) and ESFA pay 100% for English and maths and incentives

41

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 their payroll is £7m (all England)

(£7m x 0.005) - £15,000 = £20,000
£20,000 / 12 = £1,667 monthly tax
£1,667 x 1 x 1.1 = £1,883 monthly credit
£21,996 annual levy credit

For example, BBC accounts say in their payroll is £990m (let's assume 80% for England)

(£990m x 0.005) - £15,000 = £4,935,000
£4,935,000 / 12 = £411,250 monthly tax
£411,250 x 0.8 x 1.1 = £361,900 monthly credit
£4,342,800 annual levy credit

If their monthly pot runs out they switch to 5% cash contribution in return for 95% ESFA funding. Unused levy pots fund non-levied employers plus top-up, incentives, English & maths etc (is the theory)

42

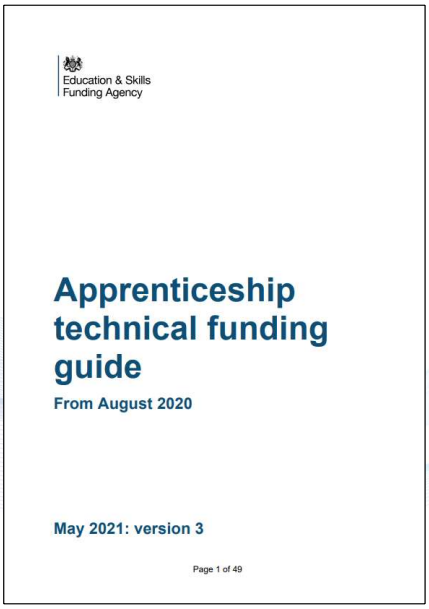
Reminder

The funding bands

Meant to negotiate with employer but reducing for prior learning and experience is an actual funding rule

80% paid monthly with final 20% paid in last month on completion of the framework or EPA (do not need to pass)

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		
9	£6,000	8	£6,000
10	£7,000	9	£9,000
11	£8,000		
12	£9,000		
13	£10,000	10	£12,000
14	£11,000		
15	£12,000		
16	£13,000	11	£15,000
17	£14,000		
18	£15,000		
19	£16,000	12	£18,000
20	£17,000		
21	£18,000		
22	£19,000	13	£21,000
23	£20,000		
24	£21,000		
25	£22,000	14	£24,000
26	£23,000		
27	£24,000		
28	£25,000	15	£27,000
29	£26,000		
30	£27,000		


Education & Skills Funding Agency

Apprenticeship technical funding guide

From August 2020

May 2021: version 3

Page 1 of 49

42 day qualifying period unless returning from a break

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

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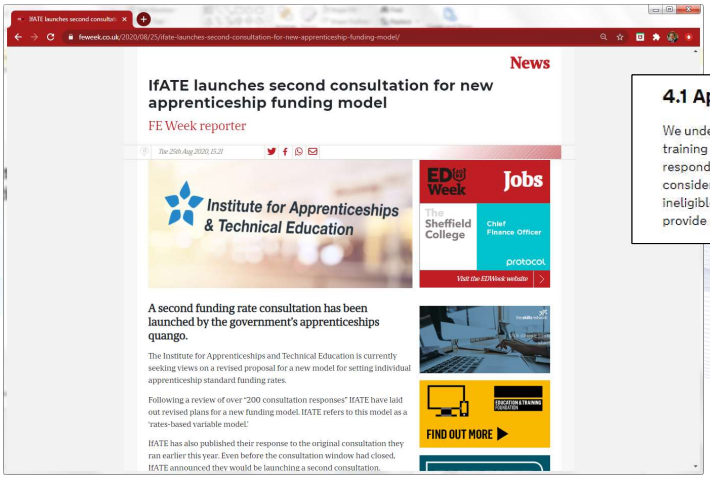
Band for standards do change (mostly downwards)

IfATE consultation outcome should be published any time now…



Update 7 July 2021

4.1 Apprenticeship Funding: Eligible Costs Review:

We undertook a consultation earlier this year on the eligible and ineligible costs of training and on-programme assessment. We would like to thank the sector for responding so positively to the consultation which received 78 responses. We are considering our response to the consultation and any potential changes to eligible and ineligible costs as part of the Government's planned spending review in 2021. We will provide a further update towards the end of the year.

https://www.gov.uk/government/publications/esfa-update-7-july-2021/esfa-update-further-education-7-july-2021#information-updated-apprenticeship-funding-rules-for-2021-to-2022

IfATE say there will be new info soon

https://feweek.co.uk/2020/08/25/ifate-launches-second-consultation-for-new-apprenticeship-funding-model/

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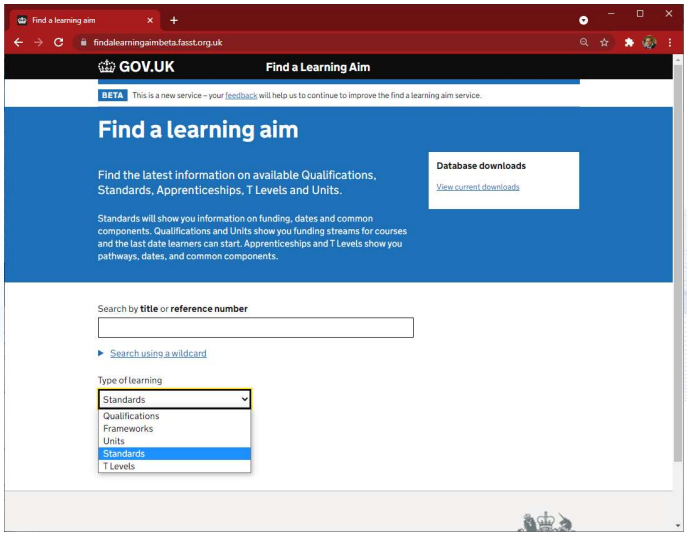
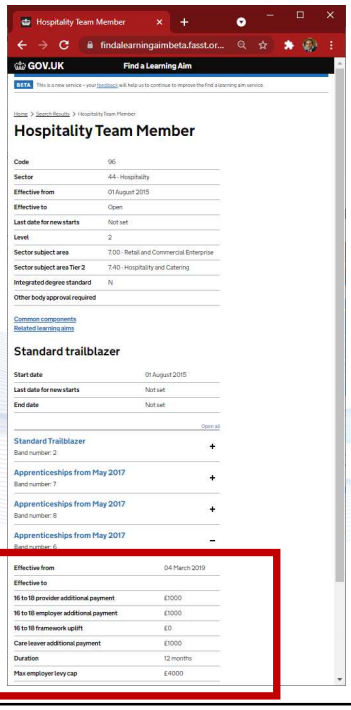
Using Find a learning aim (FaLA)





https://findalearningaimbeta.fasst.org.uk/

45

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

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£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 ONLY). 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

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

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FRAMEWORKS ONLY: 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

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

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Demo of my apprenticeship funding calculator – 2022/23 edition

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Apprenticeships and the ILR in 2022/23

LSECT LEARNING & SKILLS EVENTS, CONSULTANCY & TRAINING

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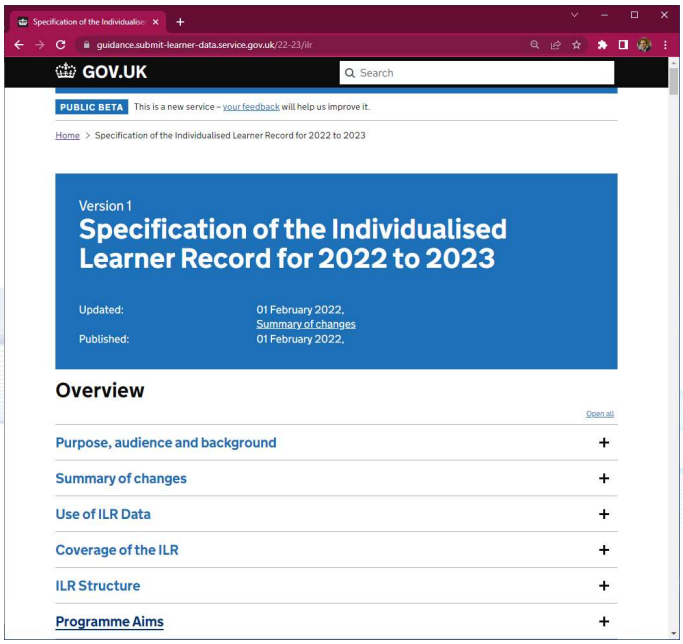
The Individualised Learner Record
(not going away!)



https://guidance.submit-learner-data.service.gov.uk/ilr

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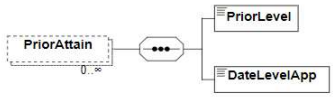
Key change for this year

Data model



Notes

- This entity is completed when the learning agreement has been agreed between the learner and provider. The prior attainment relevant to the agreement is recorded on the ILR with the start date matching the earliest learning aim start date for the agreement.
- Where all learning activities relating to the agreement have been completed and if the learner progresses into further learning with the same provider, a new learning agreement is made and a new prior attainment to reflect that learning agreement is recorded.
- The prior attainment is not updated during the period of learning where all activities relating to the learning agreement are continuing.
- The prior attainment is not updated at the end of all learning activities relating to the learner agreement. A new record is only added at the start of any subsequent learning where a new learning agreement has been signed.

Version 1 changes

Entity: Prior Attainment
Type of change: New entity
Details of change:
A new Prior attainment entity has been added to improve the data collected for prior attainment.
This contains two new fields, Prior Level and Date applies from. The previous Prior attainment field has been removed.

Field: Prior Level
Type of change: New codes
Details of change:
Two new codes have been added to the prior attainment code list.

- Level 2 (code 3)
- Level 3 (code 5) The previous code 'Other qualifications below level 1' has been removed.

Field: Prior Level
Type of change: Revision
Details of change:
The prior attainment code list has been renumbered to reflect the updated levels.

Field: Prior Level
Type of change: Revision
Details of change:
The Prior attainment levels table has been updated to include Level 2 and Level 3 qualifications.

Field: Employment Status Monitoring Type
Field: Employment status monitoring code
Type of change: New Code
Details of change:
A new code ESM type (OET) has been added to record redundancy along with 6 unassigned codes

https://guidance.submit-learner-data.service.gov.uk/ilr/summaryofchanges

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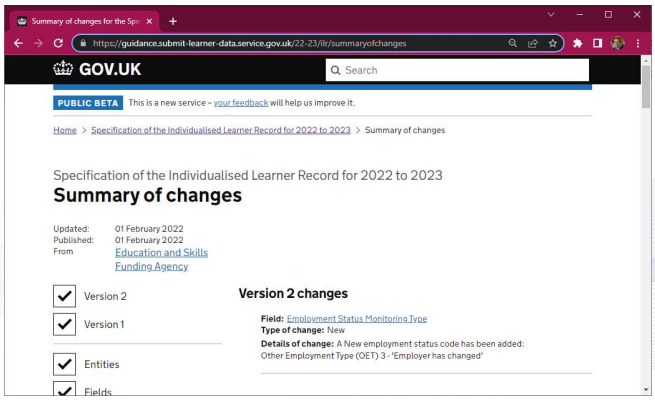
Changes for next year



Mainly changes relating to inclusion of skills bootcamps

https://guidance.submit-learner-data.service.gov.uk/22-23/ilr/summaryofchanges

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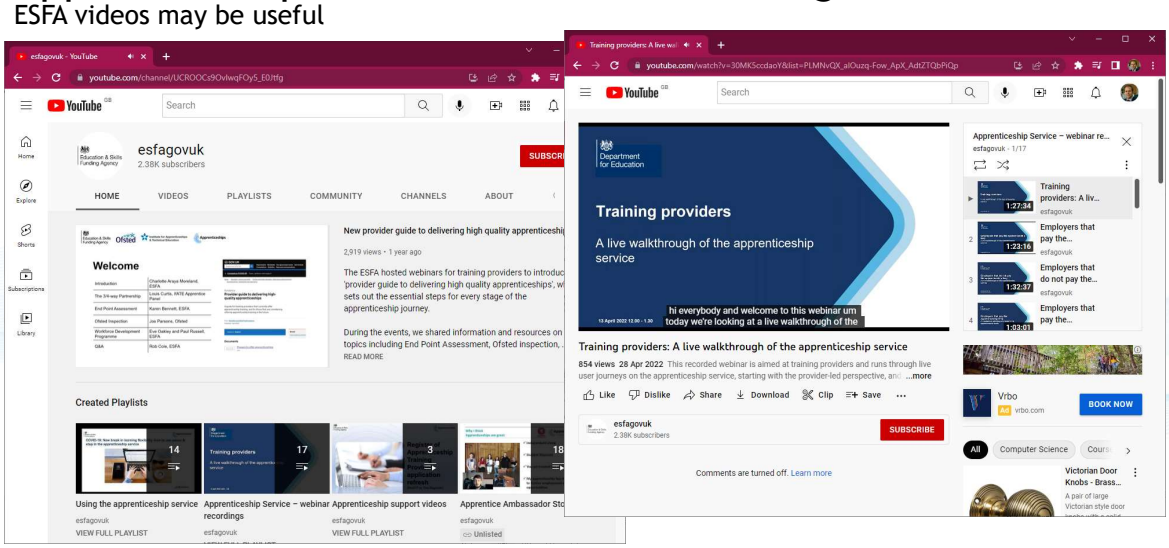
Apprenticeship Service continues to change

ESFA videos may be useful



https://www.youtube.com/channel/UCROOCs9OvIwqFOy5_E0Jtfg

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Apprenticeship funding audit (incl. DSATs) for 2021/22

LSECT LEARNING & SKILLS EVENTS, CONSULTANCY & TRAINING

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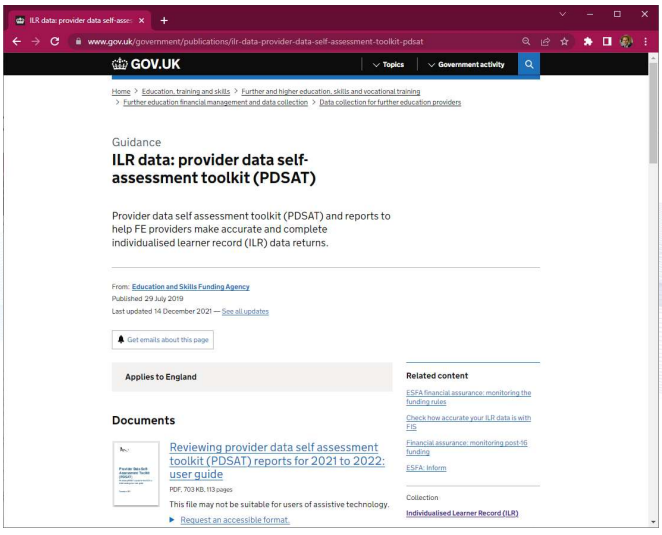
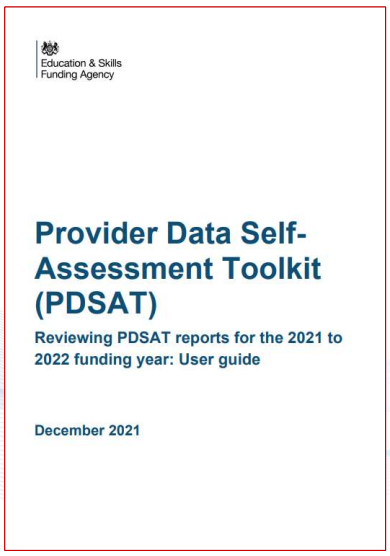
Data self-assessment toolkit (DSAT)



https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat



New user guide for 2021/22

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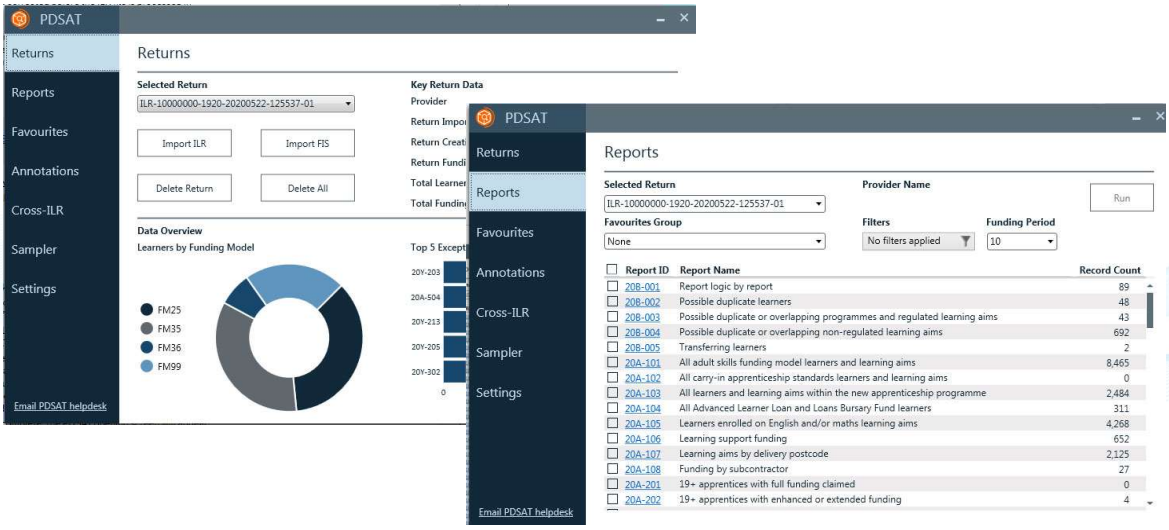
Data self-assessment toolkit (DSAT)



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Example report and guidance

22A-212: Apprenticeship planned durations

Funding model: 36

Summarises by apprenticeship the count of apprenticeships starting on or after 1 May 2017 according to the planned duration.

For each apprenticeship and total negotiated price, this report groups by planned duration the number of learners. This enables review of the spread of planned durations for each apprenticeship programme.

Where providers deliver the same apprenticeship programme at the same price, it is reasonable to expect largely similar planned durations. Providers should be able to justify any wide variations in planned durations for delivery of the same apprenticeship programmes.

Look for apprenticeship programmes with learners on significantly different planned durations. For any individual apprenticeship programme, use report 22A-103 (All learners and learning aims within the new apprenticeship programme) to identify the learners affected and check whether there is any commonality between groups of learners and planned durations, such as whether they have the same employer.

Seek to establish the provider's reasons for such disparity and consider whether they are reasonable. In particular, consider whether it is appropriate to charge the same price for apprenticeship programmes that the provider plans to deliver over significantly different durations.

https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat

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Example report and guidance

22A-216: Planned off-the-job training hours

Funding model: 36

Identifies apprenticeship programmes with planned off-the-job training hours that may not meet the minimum requirement.

For each learner, this report uses the apprenticeship programme's planned duration, statutory annual leave entitlement and the least possible employment hours per week derived from the code associated with the employment status monitoring type *EII (Employment intensity indicator)* to calculate the least possible minimum off-the-job training requirement. For learners appearing in this report, the number of planned off-the-job training hours recorded in the ILR is lower even than this calculated minimum, meaning that their apprenticeship programme does not contain at least the minimum required amount of off-the-job training, risking the apprenticeship's eligibility for funding.

The provider must check each learner listed and correct the planned off-the-job training hours accordingly.

https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat

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Example report and guidance

22A-217: Actual off-the-job training hours compared to those planned

Funding model: 36

Identifies apprenticeship programmes with fewer actual off-the-job training hours than planned off-the-job training hours.

Use this report for ring-fencing and additional testing where you identify errors relating to the delivery of insufficient actual hours of off-the-job training.

It is quite feasible for the number of actual off-the-job training hours recorded in the ILR to be fewer than the number of planned off-the-job training hours, such as where an apprenticeship is delivered over a shorter duration than that planned[32]. Where the actual off-the-job training hours are fewer than those planned, the provider, employer and apprentice must sign a summary statement confirming their agreement to, and satisfaction with, the quantity of training delivered. Providers must be able to supply such evidence to justify any instances appearing in this report.

Where the evidence does not confirm this, or does not exist, funding for an apprentice's programme may be invalid and subject to recovery.

https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat

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Example report and guidance

Checking DSAT reports can also help you find funding you might not have claimed but are entitled to

22A-218: Apprenticeship completions

Funding model: 36

Identifies apprenticeship standard programmes recorded as complete but with no completion date.

This report will assist providers in ensuring that they claim completion payments for apprenticeship standards.

Once an apprentice has completed the end-point assessment, the provider can report the completion in the ILR by recording *Completion status* = 2.

However, to trigger a completion payment, the provider must also return the completion date (i.e. the date that the end-point assessment was completed) in the ILR field *Achievement date* (regardless of the outcome).

Where a provider omits to return the *Achievement date* for an apprenticeship standard completion (where the practical period ended on or after 1 August 2019), it risks missing out on the completion payment.

The provider should review all records listed with a view to updating the *Achievement date*. It must accurately record the date that the end-point assessment was completed and to secure the completion payment, it must be returned before the final R14 hard close for the funding year in which the activity takes place.

Note that whilst this action will ensure that the completion payment is not affected by any omissions to these fields, there are other variables that may affect the completion payment, such as the collection of co-investment from the employer, where applicable.

https://www.gov.uk/government/publications/ilr-data-provider-data-self-assessment-toolkit-pdsat

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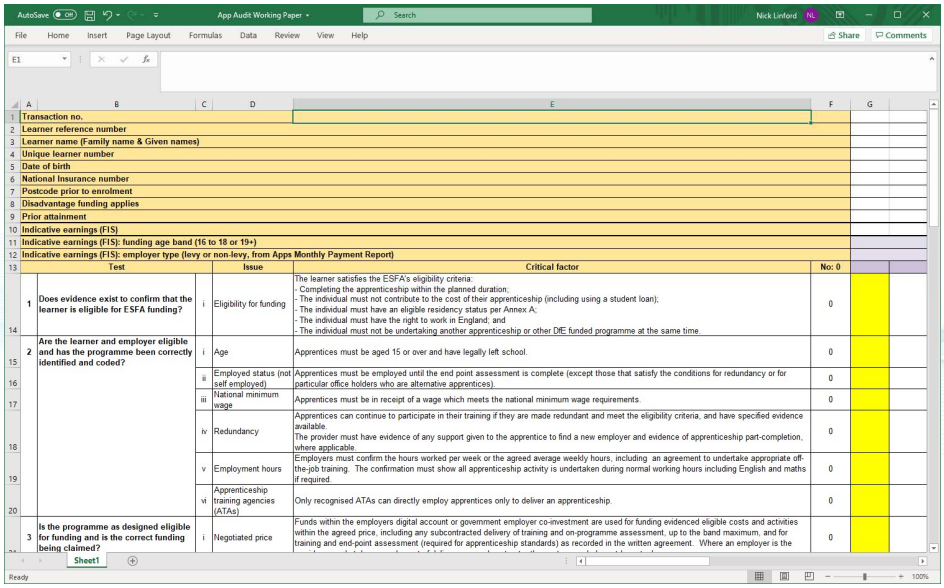
Audit and the Financial Assurance working papers



1	Transaction no.					
2	Learner reference number					
3	Learner name (Family name & Given names)					
4	Unique learner number					
5	Date of birth					
6	National Insurance number					
7	Postcode prior to enrolment					
8	Disadvantage funding applies					
9	Prior attainment					
10	Indicative earnings (FIS)					
11	Indicative earnings (FIS): funding age band (16 to 18 or 19+)					
12	Indicative earnings (FIS): employer type (levy or non-levy, from Apps Monthly Payment Report)					
13	Test			Issue	Critical factor	No: 0
14	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: - Completing the apprenticeship within the planned duration; - The individual must not contribute to the cost of their apprenticeship (including using a student loan); - The individual must have an eligible residency status per Annex A; - The individual must have the right to work in England; and - The individual must not be undertaking another apprenticeship or other DfE funded programme at the same time.	0
15	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.	0
16		ii		Employed status (not self employed)	Apprentices must be employed until the end point assessment is complete (except those that satisfy the conditions for redundancy or for particular office holders who are alternative apprentices).	0
17		iii		National minimum wage	Apprentices must be in receipt of a wage which meets the national minimum wage requirements.	0
18		iv		Redundancy	Apprentices can continue to participate in their training if they are made redundant and meet the eligibility criteria, and have specified evidence available. The provider must have evidence of any support given to the apprentice to find a new employer and evidence of apprenticeship part-completion, where applicable.	0
19		v		Employment hours	Employers must confirm the hours worked per week or the agreed average weekly hours, including an agreement to undertake appropriate off-the-job training. The confirmation must show all apprenticeship activity is undertaken during normal working hours including English and maths if required.	0
20		vi		Apprenticeship training agencies (ATAs)	Only recognised ATAs can directly employ apprentices only to deliver an apprenticeship.	0
21	3 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 (required for apprenticeship standards) as recorded in the written agreement. Where an employer is the	0

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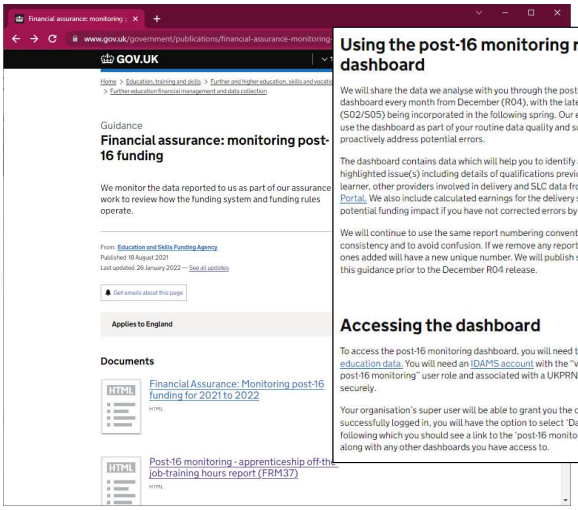
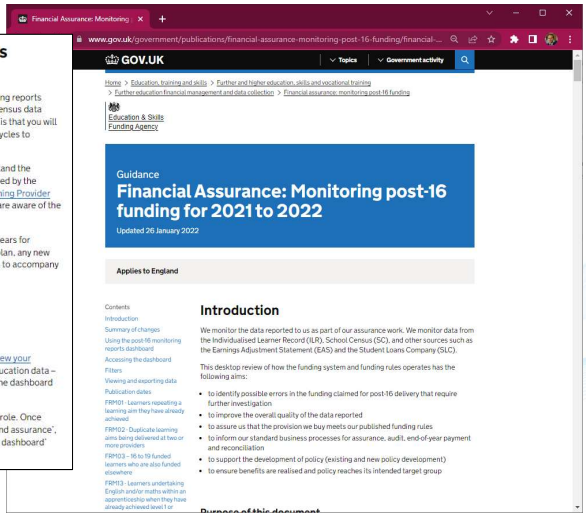
Financial assurance: monitoring post-16 funding
Focus on FRM37 report





https://www.gov.uk/government/publications/financial-assurance-monitoring-post-16-funding

https://www.gov.uk/government/publications/financial-assurance-monitoring-post-16-funding/financial-assurance-monitoring-post-16-funding-for-2021-to-2022

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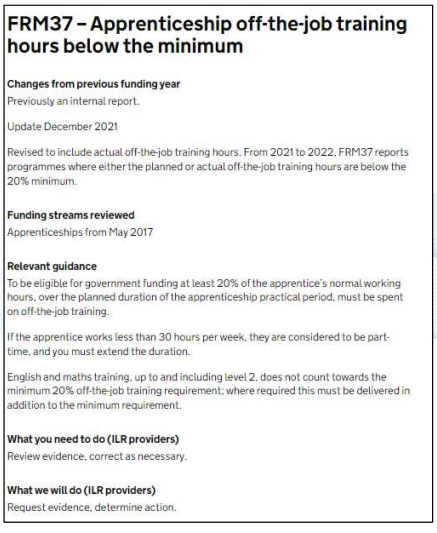
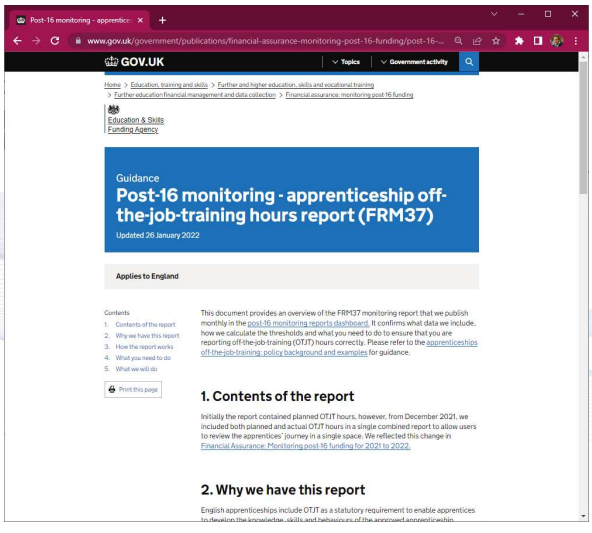
Changes and focus on FRM37 report





https://www.gov.uk/government/publications/financial-assurance-monitoring-post-16-funding/post-16-monitoring-apprenticeship-off-the-job-training-hours-report-frm37

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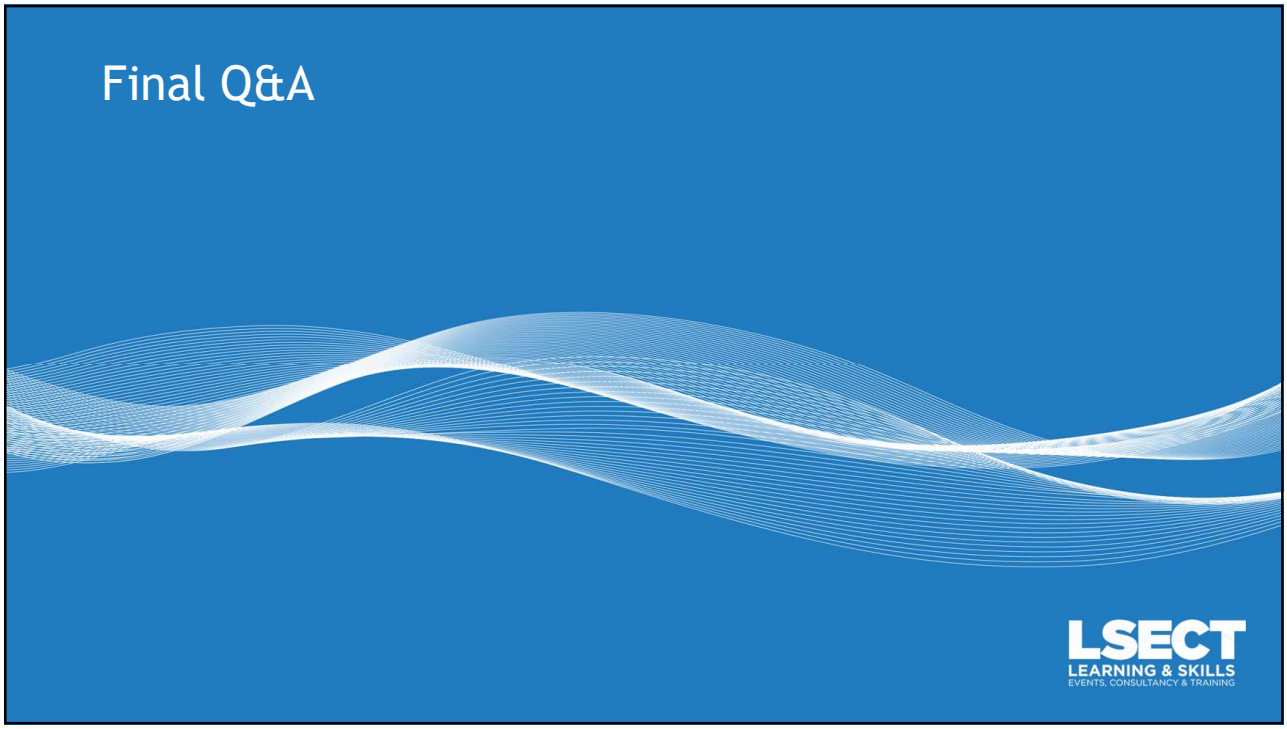
Final Q&A
LSECT
LEARNING & SKILLS
EVENTS, CONSULTANCY & TRAINING

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