



Skills Funding
Agency

Combined funding rules for apprenticeship frameworks

For the 2016 to 2017 funding year (1 August 2016 to 31 July 2017).

Version 1

Includes the documents below:

Skills Funding Agency: common funding rules

Apprenticeships: common funding rules

Apprenticeship frameworks funding rules

January 2016

Of interest to providers and employers

Contents

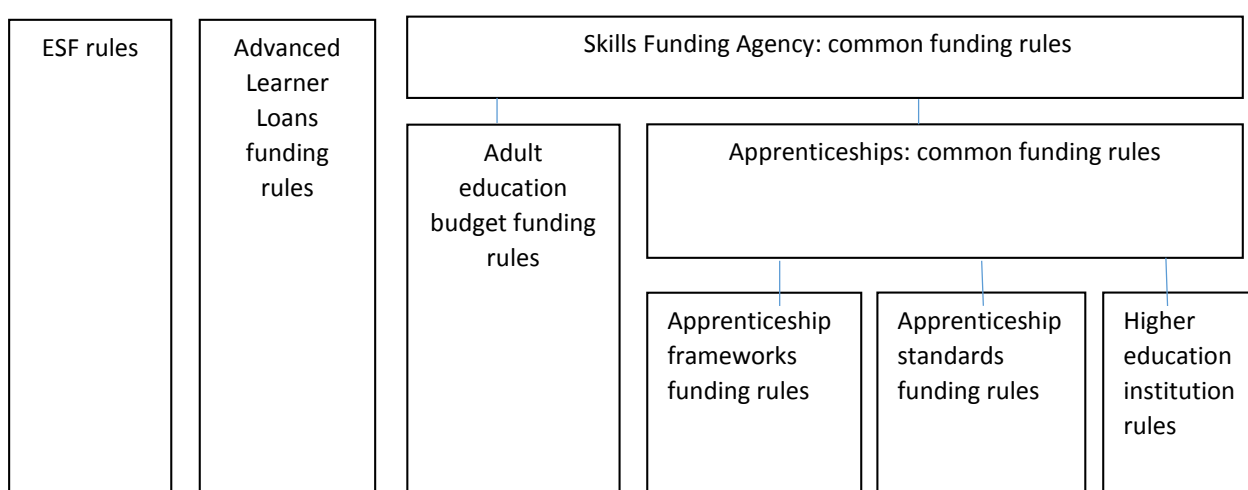
Skills Funding Agency: common funding rules

Introduction and purpose of the document.....	3
Understanding the terminology	3
Contacting our Central Delivery Service	4
Principles of funding.....	5
Who we fund	5
Learners with learning difficulties and disabilities	6
What we fund	7
Qualifying days for funding	7
Recognition of prior learning	8
Contracting.....	8
Staying on the Register of training organisations	8
Subcontracting	9
Selection and procurement.....	9
Entering into a subcontract	11
Terms that you must include in your contracts with subcontractors	11
Monitoring	13
Second-level subcontracting.....	13
Reporting subcontracting arrangements.....	13
Distributing income between you and your subcontractors	13
Match funding requirements relevant to all programmes (except apprenticeship standards)	15
Evidence	16
Learner file (previously called Learning Agreement)	16
Confirmation and signatures.....	18
Starting, participating and achieving	18
Leaving learning.....	19
Individualised Learner Record	19
Self-declarations by learners	19
Eligibility for funding	19
16 to 18 apprenticeships.....	20
Learners in the armed forces	20
Learners temporarily outside of England	21
Learners who live in Wales, Scotland or Northern Ireland.....	21
Apprenticeships: common funding rules	
Introduction.....	22
Starting an apprenticeship.....	23

Learner file and the evidence pack.....	23
Apprenticeship agreement... ..	23
Apprenticeship training agency (ATA).....	24
Employment hours.....	24
Apprenticeship duration.....	25
Transfers and breaks in learning and minimum duration.....	26
English and maths.....	26
Second apprenticeships at the same or lower level.....	26
Apprenticeship learning support.....	27
Apprenticeship frameworks funding rules	
Apprenticeship frameworks.....	28
Eligibility rules for apprentices in apprenticeship frameworks.....	28
Apprenticeship duration.....	29
What is eligible to be funded?.....	29
Extending the funding for apprentices aged 19 to 24.....	29
Employer statement.....	30
English and maths.....	31
Completion and achievement of an apprenticeship framework.....	32
Employer incentives.....	33
Apprenticeship learner support.....	33
Glossary	34

Introduction and purpose of the document

- A1. This document sets out the core funding rules for the 2016 to 2017 funding year (1 August 2016 to 31 July 2017). The rules apply to all providers of education and training who receive funding from the Secretary of State for Business, Innovation and Skills acting through the Skills Funding Agency (SFA). These rules do not apply to Advanced Learner Loans or to education and training services funded by the European Social Fund.
- A2. This document is one of a suite of documents which set out the funding rules for the 2016 to 2017 funding year. You must read this document together with the relevant programme rules which we show below.



- A3. These documents form part of the terms and conditions of funding and you must read them in conjunction with your funding agreement.
- A4. You must operate within the terms and conditions of the funding agreement, these rules, the [performance-management-rules](#) the [Individualised Learner Record \(ILR\) Specification](#). If you do not, you are in breach of the funding agreement with the SFA.
- A5. The SFA may make changes to these rules.

Understanding the terminology

- A6. The term 'we' refers to the SFA.
- A7. When we refer to 'you' or 'providers', this includes colleges, higher education institutions, training organisations, local authorities and employers who receive funding from us to deliver education and training. We will use the generic term 'you' or 'provider' unless the requirements only apply to a specific provider type.

A8. We use the term 'funding agreement' to include the:

A8.1. financial memorandum

A8.2. conditions of funding (grant)

A8.3. contract for services

A8.4. conditions of funding (grant) - employer

A9. We use the terms 'individual', 'learner' and 'apprentice' to cover those whose provision is funded by us.

A9.1. We use the term 'provision' to refer to all learning activity that we fund, whether it is a regulated qualification or other activity that is not a regulated qualification.

A9.2. If we refer to qualifications, these will either be from the Regulated Qualifications Framework (RQF) or they will be an Access to Higher Education Diploma recognised and regulated by the Quality Assurance Agency (QAA).

A9.3. If we refer to 'learning aims' we mean a single episode of learning which could be a regulated qualification or a piece of non-regulated learning activity. This type of activity could include:

A9.3.1. independent living skills

A9.3.2. employability skills

A9.3.3. labour market entry

A9.3.4. vocational tasters

A9.3.5. engaging the hard to reach

A9.4. If we refer to 'programmes' we mean a package of learning activity which may include regulated qualifications, components of qualifications or non-regulated activity.

A9.5. We use boxes in this document where we need to set the context of the rules.

Contacting our Central Delivery Service

A9.6. If you need to contact us you can do so through our Central Delivery service (CDS) at servicedesk@sfa.bis.gov.uk or telephone 0370 2640001.

Principles of funding

A10. These funding rules apply to all learners from 1 August 2016. This includes learning that started before 1 August 2016 as well as new learning aims or programmes started on or after 1 August 2016. The only exceptions to this are:

A10.1. if the funding rules state they only apply to those starting a new learning aim, or to continuing learners

A10.2. for funding eligibility rules, as this is determined on the first day a learner starts their learning

A11. Budgets are ring-fenced and you must not vire between the following:

A11.1. Adult Education Budget

A11.2. 19+ apprenticeships

A11.3. Apprenticeship Grants for Employers (AGE)

A11.4. Loans Bursary Fund

A11.5. Advanced Learner Loan Facility

A12. For 16 to 18 apprenticeships and 16 to 18 traineeships, virement is permitted within these budgets, subject to formal agreement as in our published rules. See our performance-management rules for more information.

A13. We will review and monitor whether the education and training you provide represents good value for money. If we consider that the funding of the education and training we have provided is significantly more than the cost, we may reduce the amount of funding we pay you after consulting with you.

Who we fund

A14. You must check the eligibility of the learner at the start of each learning aim or their traineeship or apprenticeship programme and only claim funding for eligible learners.

A15. To be funded by us, on the first day of learning a learner must be:

A15.1. aged 19 or older on 31 August within the 2016 to 2017 funding year if the learning aim is not an apprenticeship or traineeship

A15.2. an apprentice starting an apprenticeship after the last Friday in June of the academic year in which they have their 16th birthday

- A15.3. starting a traineeship on or after 1 August of the academic year in which they have their 16th birthday.
- A16. The age of the learner on 31 August in the funding year determines whether the learner is funded by us or the Education Funding Agency (EFA). For all other purposes, the age of the learner is that at the start of each learning aim.
- A17. A learner's eligibility will not change during the learning aim or programme, unless they are an apprentice and their employment status changes (see paragraphs A3 and A9 in [Apprenticeships: common funding rules](#)).
- A18. Learners will be eligible for funding for the whole of the learning aim or programme if they are eligible for funding at the start, even if the duration is for over one year. You must reassess the learner for any further learning aims or programmes they start.
- A19. If an individual starts a learning aim and is not eligible for funding, we will not fund this learning aim for them at any time in the future, even if the individual becomes eligible.
- A20. Any learner, of any age, must be able to achieve the learning aim or programme of study within the time they have available. If you know a learner is unable to complete a learning aim in the time they have available, they cannot be funded.

Learners with learning difficulties and disabilities

- A21. We will fund learners with learning difficulties or disabilities as set out in the [Apprenticeships, Skills, Children and Learning Act 2009](#).
- A22. We will fund learning and support as needed for individuals who self-declare a learning difficulty or disability.
- A23. The EFA is responsible for funding provision and support costs for any other learners aged 19 to 24 who are subject to an Education, Health and Care Plan (EHC Plan) or Learning Difficulty Assessment (LDA) for their learning programme through your EFA delivery contract.

What we fund

- A24. You must make sure that the learning is eligible for funding before the learner starts. [The Hub](#) contains details of eligible qualifications and apprenticeship learning aims.
- A25. You must not claim funding where a learner only resits a learning aim assessment or examination and no extra learning takes place.
- A26. You must not claim funding for any provision that is delivered to a learner outside England unless we give you permission before learning starts; this includes distance learning.
- A27. You or your subcontractors must not claim funding for any part of any learner's learning aim or programme that duplicates provision they have received from any other source.
- A28. We will not fund a learner to repeat the same regulated qualification where they have previously achieved it unless it is:
- A28.1. a requirement of the apprenticeship
 - A28.2. for any GCSE where the learner has not achieved grade C, or 5, or higher
- A29. You must provide accurate unique learner number (ULN) information to awarding organisations and ensure all information you use to register learners for qualifications is correct. You can find more information on [GOV.UK](#).

Qualifying days for funding

- A30. The learner or apprentice must be in learning for a minimum number of days between the learning start date and learning planned end date before they qualify for funding, including learning support. In an apprenticeship standard this applies only to English and maths learning aims but not to other learning aims. The minimum qualifying days are:

Planned length of the learning aim	Minimum qualifying days
168 days	42 days
14 to 167 days	14 days
Fewer than 14 days	1 day

- A31. This does not apply where the learner achieves the learning aim.

Recognition of prior learning

A32. A learner could have prior learning that has been previously accredited by an awarding organisation or could be formally recognised and count towards a qualification. If this is the case you must:

A32.1. reduce the amount of funding claimed for the learning aim by the percentage of learning and assessment that the learner does not need

A32.2. follow the policies and procedures set by the awarding organisation for the delivery and assessment of the qualification

A32.3. not claim funding if the prior learning meets the full requirements of the awarding organisation to achieve the learning aim

A33. You must not use prior learning to reduce funding for English, maths and English for Speakers of Other Languages (ESOL) qualifications up to and including level 2. For further information see paragraph E11 and E12 in [the adult education budget](#) funding rules.

A34. If a learner does an AS-level qualification followed by an A-level then you must reduce the funding claimed for the A-level and record this in the 'Funding adjustment for prior learning' field in the ILR. You can access further information, in our [ILR Provider Support Manual for 2016 to 2017](#).

Contracting

Staying on the Register of training organisations

A35. The Register of Training Organisations (the Register) is the SFA's only market entry point for organisations that intend to deliver education and training services or operate in our supply chain as a subcontractor with an aggregated contract value of £100,000 or more. You can find out further information on the Register on [GOV.UK](#).

A36. If you and any subcontractors want to continue to be listed on the Register you must successfully complete the Register refresh and update your information when we ask you to. If you fail, or do not update when we ask you to, you must apply at the next opening.

During this period you and any subcontractors will not:

A36.1. be listed on the Register

A36.2. be invited to tender, and

A36.3. be able to increase contract value through growth cases

A37. If your organisation does not apply at the next opening of the Gateway, or you fail the application process, we will review your funding arrangements.

Subcontracting

A38. A subcontractor is a legal entity that has an agreement with you to deliver education and training funded by us.

A39. Your governing body or board of directors and your accounting officer (senior responsible person) must be satisfied that all your subcontracting meets your strategic aims and enhances the quality of your learner offer. You must set out the reasons for subcontracting in your published supply chain fees and charges policy to reflect your strategic aims. You must be able to evidence this, such as minutes of meetings and written sign-off. You must not subcontract to meet short-term funding objectives.

A40. You must only use subcontractors:

A40.1. if you have the knowledge, skills and experience within your organisation to successfully procure, contract with and manage those subcontractors and can evidence this with the curricula vitae of relevant staff

A40.2. who your governing body/board of directors and your accounting officer (senior responsible person) determine as being of high quality and low risk, and provide written evidence confirming this

A40.3. if you have robust procedures to ensure subcontracting does not lead to the inadvertent funding of extremist organisations

A41. You are responsible for all the actions of your subcontractors connected to, or arising out of, the delivery of the services which you subcontract.

Selection and procurement

A42. If you have not previously subcontracted provision we fund, you must get our written approval before awarding a contract to a subcontractor and keep evidence of this. You can find details on [GOV.UK](https://www.gov.uk).

A43. When appointing subcontractors you must avoid conflicts of interest and you must:

A43.1. write to us through your Central Delivery Service adviser about any circumstances (for example, where you and your proposed

subcontractor have common directors) which might lead to an actual or perceived conflict of interest

A43.2. not award the contract without our written permission, and

A43.3. keep as evidence both your request and our reply

A44. You must carry out your own due diligence checks when appointing subcontractors and have both the process and the results available for inspection by us. You must not use the Register as a substitute for carrying out your own due diligence checks.

A45. You must not appoint any subcontractors with a contract value of £100,000 or greater for each funding year unless they are listed on the Register first.

A45.1. This also applies if the subcontract from you would take the total value of subcontracts that the subcontractor holds to deliver education and training funded by us to £100,000 or more.

A45.2. You must obtain this information from each proposed subcontractor and also refer to the latest published List of Declared Subcontractors and the Register.

A46. If a subcontractor you are using exceeds the £100,000 threshold and is not listed on the Register, you must immediately end your subcontract with that organisation. This applies regardless of whether you were the provider whose contract took the subcontractor over the threshold.

A47. You must ensure any subcontractor you appoint continues to meet the requirements of the Register and that you provide them with all the necessary support.

A48. You must not enter into new subcontracting arrangements or increase the value of your existing arrangements if any of the following circumstances apply. These conditions will continue until we are satisfied that the concerns have been addressed and the circumstances shown below no longer apply.

A48.1. If Ofsted has rated your leadership and management as inadequate.

A48.2. If you do not meet our Minimum Standards.

A48.3. If the outcome of your annual financial health assessment we carry out is inadequate.

Entering into a subcontract

A49. You must only award contracts for delivering funded provision to legal entities. If the legal entity is a registered company, it must be recorded as 'active' on the Companies House database.

A50. You must not award a subcontract to any organisation if:

A50.1. it has an above-average risk warning from a credit agency

A50.2. it has passed a resolution (or the court has made an order) to wind up or liquidate the company, or administrators have been appointed, or

A50.3. its statutory accounts are overdue

A51. You must make sure that learners and employers supported through subcontracting arrangements know about you and your subcontractor's roles and responsibilities in providing the learning.

A52. You must have a legally binding contract with each subcontractor that includes all the terms set out below in paragraph A55.

A53. You must have a contingency plan in place for learners in the event that:

A53.1. you need to withdraw from a subcontract arrangement

A53.2. a subcontractor withdraws from the arrangement, or

A53.3. a subcontractor goes into liquidation or administration

A54. You must make sure that the terms of your subcontracts allow you to:

A54.1. monitor the subcontractor's activity

A54.2. have control over your subcontractors, and

A54.3. monitor the quality of education and training provided by subcontractors

Terms that you must include in your contracts with subcontractors

A55. You must make sure your subcontractors:

A55.1. keep to our funding rules

A55.2. provide you with ILR data so your data returns to us accurately reflect your subcontractor's delivery information

- A55.3. give us, and any other person nominated by us, access to their premises and all documents relating to SFA-funded provision
- A55.4. give you sufficient evidence to allow you to:
 - A55.4.1. assess their performance against Ofsted's Common Inspection Framework
 - A55.4.2. incorporate the evidence they provide into your self-assessment report, and
 - A55.4.3. guide the judgements and grades within your self-assessment report
- A55.5. always have suitably qualified staff available to provide the education and training we fund
- A55.6. co-operate with the lead provider to make sure that there is continuity of learning if the subcontract ends for any reason
- A55.7. tell you if evidence of any irregular financial or delivery activity arises. Irregular activity could include, but is not limited to:
 - A55.7.1. non-delivery of training when funds have been paid
 - A55.7.2. sanctions imposed on the subcontractor by an awarding organisation
 - A55.7.3. an inadequate Ofsted grade
 - A55.7.4. complaints or allegations by learners, people working for the subcontractor or other relevant parties, and
 - A55.7.5. allegations of fraud
- A55.8. are bound by European Social Fund (ESF) clauses from your funding agreement being then included in the subcontract, even if the provision being subcontracted is not funded by the ESF
- A55.9. do not use our funding to make bids for, or claims from, any European funding on their own behalf or on our behalf
- A55.10. do not use payments made as match funding for ESF co-financing projects

Monitoring

A56. You must manage and monitor all of your subcontractors to ensure that high-quality delivery is taking place that meets our funding rules.

A57. You must carry out a regular and substantial programme of quality-assurance checks on the education and training provided by subcontractors, including visits at short notice and face-to-face interviews with staff and learners. The programme must:

A57.1. include whether the learners exist and are eligible

A57.2. involve direct observation of initial guidance, assessment, and delivery of learning programmes

A58. The findings of your assurance checks must be consistent with your expectations and the subcontractor's records.

Second-level subcontracting

A59. You must get our written approval each year if you want to subcontract to a second level. We will only allow this in exceptional circumstances. You can find more information on GOV.UK.

A60. You must declare any second-level subcontracting on your Subcontractor Declaration Form.

Reporting subcontracting arrangements

A61. You must provide a fully completed Subcontractor Declaration Form by the dates we will give you. This will be at least twice during 2016 to 2017. If you do not return the form on time, we will suspend your payments. If you do not subcontract, you must still provide a nil return form to confirm this.

A62. You must also update and return your Subcontractor Declaration Form if your subcontracting arrangements change during the year.

Distributing income between you and your subcontractors

A63. You must review your supply-chain fees and charges policy and this must be signed by your governing body or board of directors and your accounting officer.

A64. You must publish your supply-chain fees and charges policy on your website before entering into any subcontracting agreements for the 2016 to 2017 funding year.

- A65. Your fees and charges policy must only include 'provision subcontracting'. This is when you subcontract the delivery of full programmes or frameworks. It is not subcontracting a service as part of the delivery of a programme (for example, part of an apprenticeship framework or outreach support). If you are not sure whether your subcontracting is 'provision subcontracting', please discuss this with our Central Delivery Service.
- A66. Employers receiving direct grant funding from us must publish information on their fees and charges policy for the 2016 to 2017 funding year online. Where this is not appropriate, they should send the information to their employer development manager. This information will then be held on record and be available for requests under the Freedom of Information Act.
- A67. You must, as a minimum, include the following in your supply-chain fees and charges policy.
- A67.1. Your reason for subcontracting.
 - A67.2. Your contribution to improving yours and your subcontractor's quality of teaching and learning.
 - A67.3. The typical percentage range of fees you retain to manage subcontractors, and how you calculate this range.
 - A67.4. The support subcontractors will receive in return for the fee you charge.
 - A67.5. If appropriate, the reason for any differences in fees or support provided to different subcontractors.
 - A67.6. Payment terms between you and your subcontractors; timing of payments in relation to delivering provision and timescale for paying invoices and claims for funding received.
 - A67.7. How and when the policy is communicated and discussed with current and potential subcontractors.
 - A67.8. Timing for policy review.
 - A67.9. Where the policy is published.
- A68. You must also publish the actual level of funding paid and retained for each of your subcontractors in 2016 to 2017. You must publish this within 30 days of the [2016 to 2017 ILR closing](#).
- A68.1. The actual level of funding paid and retained must only include 'provision subcontracting', which we define in paragraph A65.

A69. Employers receiving grant funding direct from us should publish their data online. Where this is not appropriate, they should send it to their employer development manager within 30 days of the 2016 to 2017 ILR closing. This information will then be held on record and be available under the Freedom of Information Act.

A70. You must include the following in your published supply-chain fees and charges alongside your supply-chain fees and charges policy.

A70.1. Name of the subcontractor.

A70.2. The [UK Provider Reference Number](#) of the subcontractor.

A70.3. Contract start and end date.

A70.4. Type of provision (for example, 16 to 18 apprenticeships, 19+ apprenticeships).

A70.5. Funding we have paid to you for provision delivered by the subcontractor in that funding year.

A70.6. Funding you have paid to your subcontractor for provision delivered in that funding year.

A70.7. Funding you have retained in relation to each subcontractor for that funding year.

A70.8. If appropriate, funding your subcontractor has paid to you for services or support you have provided in connection with the subcontracted provision.

Match funding requirements relevant to all programmes (except apprenticeship standards)

We procure and manage contracts for ESF-funded provision on behalf of local enterprise partnerships that meets local needs. This includes matching the ESF contract value to other similar funding and learners which we report to the ESF Managing Authority in England.

This means any learning activity funded by us becomes part of the ESF programme, and the ESF programme rules also apply and will be subject to our ESF compliance checks and external audit.

- A71. You must not use the payments that we make as match funding for any ESF projects with any co-financing organisation or Managing Authority direct bids.
- A72. You must return complete data and must only return 'not knowns' in exceptional circumstances. In particular, for employment status prior to starting, household situation, prior attainment and destination, as these are important for match funding.
- A73. You and your subcontractors must follow the Retention of Documents, 'publicity' and Horizontal themes rules and provide evidence as detailed in the [ESF 2014 to 2020 funding rules](#).
- A74. You and your subcontractors must follow the Evaluation, Surveys and Annual Implementation Reporting rules in the ESF 2014 to 2020 funding rules.
- A75. 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.

Evidence

- A76. You must hold evidence to assure us that you are using the funding appropriately. Most evidence will occur naturally from your normal business process.

Learner file (previously called Learning Agreement)

<p>These rules only apply to the adult education budget and apprenticeship frameworks. Apprenticeship standards have their own rules set out in the specific apprenticeship standards rules.</p>
--

- A77. The learner file must contain evidence to support the funding claimed and must be available to us if we need it.
- A78. Evidence in the learner file must assure us that the learner exists.
- A79. The learner must confirm information they provide is correct when it is collected.
- A80. If the time spent in learning is short, the level of evidence in the learner file would reflect this.
- A81. Where you hold information centrally, you only need to refer to the source.

- A82. If applicable, the learner file must confirm the following.
- A82.1. All information reported to us in the ILR and the Earnings Adjustment Statement (EAS), and if it applies, the supporting evidence for the data you report.
 - A82.2. Your assessment and evidence of eligibility for funding and a record of what evidence the learner has provided.
 - A82.3. All initial, basic skills and diagnostic assessments.
 - A82.4. Information on prior learning that affects the learning or the funding of any of the learning aims or programme.
 - A82.5. For 'personalised learning programmes', for example, learning not regulated by a qualification, full details of all the aspects of the learning to be carried out, including supporting evidence of the number of planned hours reported.
 - A82.6. A description of how you will deliver the learning and skills and how the learner will achieve.
 - A82.7. The supporting evidence about why you have claimed funding and the level of funding for a learner, including details of any learner or employer contribution.
 - A82.8. Support needs identified, including how you will meet these needs and the evidence of that.
 - A82.9. That learning is or has taken place (including a work placement, if the learner is taking part in a traineeship) and records are available.
 - A82.10. A learner's self-declarations as to what state benefit they claim.
 - A82.11. A learner's self-declarations on their status relating to gaining a job.
 - A82.12. All records and evidence of achievement of learning aims or an apprenticeship or traineeship programme. This must be available within three months of you reporting it in the ILR.
- A83. You must keep evidence that the learner is eligible for funding. Where the learner is unemployed this must include a record of what you have agreed with them, including the relevance of the learning to their employment prospects and the labour market needs.
- A84. If a subcontractor delivers any provision to the learner, it must clearly identify who they are. This must match the information reported to us in the ILR.

A85. The learner file for an apprentice must also contain:

A85.1. the apprentice's job role

A85.2. relevant experience and achievements, both inside and outside their current working role

A85.3. the learning and skills they have to carry out while on their apprenticeship outside of named qualifications

A85.4. the name of the employer and the agreed contracted hours of employment, the total planned length of the apprenticeship, and

A85.5. confirmation that an apprenticeship agreement is in place or confirmation that the employer has been told about their legal duty for an apprenticeship agreement

A86. The learner file for a traineeship must also contain evidence of:

A86.1. a formal interview and feedback to the learner

A86.2. an exit interview, written feedback, and evidence of the time spent on, and activities performed during, work placements

A86.3. progression to a defined positive outcome within six months

Confirmation and signatures

A87. The learner or employer must confirm the information is correct when it is collected. You must have evidence of this, which can include electronic formats.

A88. We accept electronic evidence, including digital signatures, but you must have wider systems and processes in place to assure you that learners exist and are eligible for funding.

A89. You must keep effective and reliable evidence. You are responsible for making the evidence you hold easily available to us when we need it.

Starting, participating and achieving

A90. You can only claim funding for learning when activity directly related to the learning starts. This would not include enrolment, induction, prior assessment, diagnostic testing or similar activity.

A91. You must have evidence that the learning took place and that the learner was not just certificated for prior knowledge.

- A92. You must retain evidence that the apprentice has achieved their apprenticeship.
- A93. Where the learning is certificated you must apply for, and give learners, the certificates from awarding organisations for achieving a learning aim. You must evidence that this has happened in the learner file.

Leaving learning

- A94. You must report the learning actual end date in the ILR for a learner who leaves learning as the last day that they took part in learning.
- A95. If an apprentice leaves without achieving, the last date of learning for all learning aims, including the apprenticeship programme learning aim, is the last date where you have evidence that the apprentice was still in learning.

Individualised Learner Record

- A96. You must accurately complete all ILR fields as required in the ILR Specification, even if they are not used for funding. Where your data does not support the funding you have claimed, we will take action to get this corrected and could recover funds.
- A97. The ILR must accurately reflect what has happened. You must not report inaccurate information even where you perceived that this would result in a more equitable claim for funding or accurate record of performance.

Self-declarations by learners

- A98. All self-declarations must confirm the learner's details and describe what the learner is confirming.
- A99. If a learner self-declares prior attainment, you must check this in the personal learning record (PLR) and challenge any contradictory information with the learner. The PLR will not necessarily override the learner's self-declaration.

Eligibility for funding

- A100. Providers must make sure that an individual is eligible before claiming funding for them.

A101. Most individuals will be eligible for funding if the learning is taking place in England and they:

A101.1. are a citizen of a country within the European Economic Area (EEA) or other countries determined within the EEA, or

A101.2. have the Right of Abode in the UK, or

A101.3. have been ordinarily resident in the EEA for at least the previous three years on the first day of learning

A102. If a learner does not meet these requirements you must ensure that the criteria set out in [The Education \(Fees and Awards\) \(England\) Regulations 2007](#) and [The Education \(Student Fees, Awards and Support\)\(Amendment\) Regulations 2011](#) are met.

A103. For apprenticeships, you must also make sure the individual has the right to work in England.

A104. You must not claim funding for an individual if any of the following apply.

A104.1. They are here illegally.

A104.2. They have overstayed their immigration or visitor visa.

A104.3. Their immigration status restricts access to government funding.

A105. You can find further information on eligibility from the [UK Council for International Student Affairs \(UKCISA\)](#).

16 to 18 apprenticeships

A106. 16- to 18-year-olds are eligible to be funded for an apprenticeship if they meet the eligibility criteria of the EFA. You can find more information on the [EFA's website](#) .

Learners in the armed forces

A107. We will fund armed forces personnel, Ministry of Defence (MoD) personnel or civil and crown servants where the learning takes place in England. We will class members of the British armed forces on postings outside of the European Union (EU), including their family members, as ordinarily resident in the United Kingdom.

A108. Members of other nation's armed forces stationed in England and their family members are eligible for funding if the armed forces individual

has been ordinarily resident in England for three years. We will not fund family members that stay outside of England.

Learners temporarily outside of England

A109. If someone ordinarily resident in England works outside of England as part of their job, they are eligible for funding as long as some of the learning takes place in England. You cannot claim for the additional expense of delivering learning outside of England.

Learners who live in Wales, Scotland or Northern Ireland

A110. Wales, Scotland and Northern Ireland have their own funding arrangements. You must develop arrangements with the relevant devolved administration if you are planning to deliver a significant quantity of learning to non-English residents.

A111. You must not actively recruit learners who live or work outside of England.

A112. We will fund an individual who does not live in England, if specialist skills training is not available other than in England and they want to travel to, or live in England to study or learn. We do not expect these numbers to be significant.

A113. For workplace learning, we will not fund individuals whose main employment or normal place of work is not in England.

Apprenticeships: common funding rules

Introduction

Apprenticeships are a job with an accompanying skills development programme, designed by employers. Apprentices gain the technical knowledge, practical experience and wider skills they need for their immediate job and future career. The apprentice gains this through a wide mix of learning in the workplace, formal off-the-job training and the opportunity to practise new skills in a real work environment. This wide mix differentiates apprenticeships from training delivered to meet narrowly-focused needs.

- B1. This document sets out the common funding rules for all apprenticeships. You should read it with other relevant funding rules documents.
- B2. These are the funding rules for all apprenticeship frameworks and standards, including those delivered by higher education institutions. We will use the generic term apprenticeship for all types of apprenticeship, unless we state otherwise.
- B3. Apprentices must be an employee on the first day of their apprenticeship and be paid at least a wage consistent with the law for both the time they are in work and in off-the-job learning. You can find information on the definition of an employee on [GOV.UK](https://www.gov.uk) and information on the national minimum wage on [GOV.UK](https://www.gov.uk). The lead provider must retain evidence of the apprentice's employment.
- B4. To receive funding for an apprenticeship you must:
 - B4.1. be satisfied that this is the most appropriate learning programme and it is:
 - B1.1.1. a new job role, or
 - B1.1.2. an existing job role, where the individual needs significant new knowledge and skills
 - B4.2. make sure the job allows the apprentice to gain the wider employment experience as part of the apprenticeship
 - B4.3. advertise new apprenticeship vacancies on [Find an apprenticeship](https://www.findanapprenticeship.gov.uk), except where they are an existing employee
 - B4.4. close the advert once the vacancy has been filled
- B5. You must not ask an apprentice to contribute financially to the direct cost of learning. If providers charge an apprentice's employer, this is up to them. In an apprenticeship standard, the provider must charge the employer for a contribution towards the cost of the apprenticeship.

Starting an apprenticeship

- B6. For each apprentice, we will only fund a single apprenticeship at any one time. An apprentice must not progress onto another apprenticeship until they have completed or achieved and left their current apprenticeship.
- B7. An apprenticeship is a full-time programme. You must not claim funding where either you or another party claim funding from another government department or an agency, such as the Education Funding Agency or Department for Work and Pensions, for that individual.
- B8. We will not fund an apprenticeship delivered only by distance learning. You can include online and other blended learning activity as part of the delivery of an apprenticeship.
- B9. If an apprentice becomes self-employed during the apprenticeship, this will make their apprenticeship and funding ineligible at that point unless the apprenticeship framework falls within the alternative completion conditions. [The Apprenticeships \(Alternative English Completion Conditions\) Regulations 2012](#) and [The Apprenticeships \(Alternative English Completion Conditions\) \(Amendment\) Regulations 2013](#)
- B10. You must not use our funding to pay apprentices' wages.

Learner file and the evidence pack

- B11. The learner file, described in the common funding rules, is the generic term that the SFA uses for evidence. Where we use this term in relation to apprenticeship standards you must also refer to the evidence pack as detailed in the specific apprenticeship standards rules. The evidence pack has additional requirements.

Apprenticeship agreement

- B12. There must be evidence that an apprentice has an [apprenticeship agreement](#) at the start and throughout their apprenticeship, between the employer and apprentice as defined in the [Apprenticeships, Skills, Children and Learning Act 2009](#) (unless the apprenticeship framework is covered by the alternative completion conditions).
- B13. The apprenticeship agreement can be a written statement of particulars under the [Employment Rights Act 1996](#). Alternatively, it can be a contract of employment or a letter of engagement, where the employer's duty under the 1996 Act is treated as met.

Apprenticeship training agency (ATA)

- B14. An ATA must follow our ATA framework. You can find information on ATAs on [GOV.UK](https://www.gov.uk).
- B15. You must not employ apprentices solely to deliver an apprenticeship, unless employment is through a recognised apprenticeship training agency (ATA).
- B16. An ATA, an organisation whose main business is employing apprentices who are made available to employers for a fee, must:
 - B16.1. set up as a distinct legal entity so that apprentices can have employment contracts with the ATA
 - B16.2. report that the apprentice is employed by an ATA in the Individual Learning Record (ILR)
- B17. Group training associations that offer an ATA service to employers must follow ATA-specific rules.

Employment hours

- B18. You must:
 - B18.1. make sure that apprentices are employed for at least 30 hours a week
 - B18.2. record the agreed average weekly hours including study hours in the learner file
 - B18.3. ensure the apprentice spends a large proportion of their apprenticeship developing the skills of their job
 - B18.4. ensure the employer provides the apprentice with paid time to attend off-the-job training, including additional support for English and maths, or support accessed for learning difficulties and/or disabilities
 - B18.5 only train apprentices who work part-time for fewer than 30 hours a week, by exception, due to personal situations or because of the industry or job role. In these instances:
 - B18.5.1 the apprentice must work for at least 16 hours a week
 - B18.5.2 you must record the agreed average number of hours each week

B18.5.3 you must evidence why this is required

B18.5.4 you must meet the minimum apprenticeship duration rule

B18.5.5 you must make it clear in an advert for a vacancy on [Find an apprenticeship](#) if the apprenticeship is for fewer than 30 hours a week

B18.5.6 Zero-hour contracts will only be accepted if there is a contract of employment that meets the funding rules in the paragraph above.

B19. The employer must recognise that the apprentice must complete the apprenticeship within their working hours.

B20. An apprentice must still meet the minimum employment hours if they work irregular working hours or are on a zero-hour contract. For an apprentice in these circumstances you must use a four-week rolling average to make sure they meet the employment hours funding rule. If the four-week rolling average falls below 16 hours, then the apprenticeship must be put on hold until the working hours increase to 16 or greater.

B21. The planned length of the apprenticeship and average working-hour pattern must be clear when you advertise a vacancy on the [Find an apprenticeship](#) website.

B22. If the number of part-time apprenticeships is large and you fail to evidence the exceptional reasons why, we will remove funding from you as part of the performance-management process.

Apprenticeship duration

B23. The minimum duration of an apprenticeship is one year, unless:

B23.1. the framework or standards specifications or assessment plans require it to be longer, or

B23.2. the apprentice is aged 19 or older, is following a framework and funding is reduced because of prior learning or achievement

B24. Where the minimum duration is one year, the apprentice must be in learning on the anniversary of the date they started the apprenticeship.

B25. If the minimum duration has not been met, you must not claim an Apprenticeship Framework Completion Certificate from Apprenticeship Certificates England. (Not applicable to apprenticeship standards.)

B26. You must make sure that, the apprentice is involved in active learning or monitored workplace practice, throughout an apprenticeship. The

apprentice can, after achieving all mandatory qualifications in a framework, stay in learning until they meet the minimum duration and embed the skills they have gained. You must have evidence that the apprentice continues in learning.

- B27. If the apprentice works part-time for fewer than 30 hours a week you must extend the minimum duration to take account of the shorter working time. For example, if the apprentice only works 20 hours a week, you must extend the end date by 50% – so, the apprentice must be in learning for at least 18 months. This would also apply where the working hours of an apprentice temporarily fall below 30 hours a week.

Transfers and breaks in learning and minimum duration

- B28. When an apprentice transfers between providers or returns after a break in learning:

B28.1 You must have evidence that the total amount of time spent on their apprenticeship meets the minimum duration funding rule for the continued apprenticeship.

B28.1 If they start a new apprenticeship standard, framework or pathway, previous durations do not apply to meeting the minimum duration requirements.

English and maths

- B29. Frameworks and standards have specific funding rules on the delivery and achievement of English and maths, which you can find in the frameworks funding rules and the standards funding rules.

Second apprenticeships at the same or a lower level

- B30. If an apprentice starts a new job in a different occupation, we will fund them to do an apprenticeship at the same level as previously achieved.
- B31. We will fund another apprenticeship framework at the same or lower level if the apprentice needs to be multi-skilled for their occupation and if the learning is materially different to the apprenticeship they achieved previously. You must have evidence that the repeat or lower-level apprenticeship framework is supporting the apprentice in an extended job role.
- B32. We will not fund another apprenticeship standard at a lower level than already achieved.

Apprenticeship learning support

- B33. We will provide learning support for apprentices to help with learning that affects their ability to continue and complete their apprenticeship.
- B34. This must not be used to deal with everyday difficulties that are not directly associated with an apprenticeship.
- B35. You must:
- B35.1. carry out a thorough assessment to identify the support the apprentice needs
 - B35.2. agree and record the outcome of your assessment in the learner file
 - B35.3. deliver support to meet the apprentice's identified needs, and review progress and continuing needs, as appropriate
 - B35.4. record all outcomes in the learner file and keep evidence of the assessment of the needs
 - B35.5. report in the ILR that an apprentice has a learning support need associated with an identified learning aim
- B36. Learning support is earned at a fixed monthly rate, the same in both frameworks and standards, which should be enough to cover your costs. If the support cost exceeds that earned from the fixed monthly rate, and you provide evidence of this, you can claim excess learning support using the Earnings Adjustment Statement (EAS). You can find further information on the EAS [here](#).
- B37. You can claim learning support as long as the learner needs support for the learning aim up to the learning actual end date.
- B38. You must promptly claim for learning support from your apprenticeship budget through the ILR and the EAS. We will not pay you for claims from a previous funding year if you do not claim on time.
- B39. The maximum value of learning support each year claimed through the monthly rate and excess learning support claimed through the EAS is £19,000. If learning support costs for an apprentice exceeds this maximum, we will need to authorise you to claim exceptional learning support.

Apprenticeship frameworks

- C1. This document sets out the additional funding rules for apprenticeship frameworks. You must read it together with other relevant funding rules documents.

Quality

- C2. The apprentice must be able to undertake confidently the full breadth of duties to the level set by the industry in which they work, and in the range of circumstances appropriate to the job once they have completed the apprenticeship. For more information, please read the Statement on Apprenticeship Quality on [GOV.UK](https://www.gov.uk).

Eligibility rules for apprentices on apprenticeship frameworks

- C3. All apprentices on a framework must be an employee, unless the apprentice is in an occupation listed in the alternative completion condition regulations (please refer to rule C5 below).
- C4. The regulations also include alternative completion conditions where an apprentice is made redundant and is within six months of finishing their apprenticeship. This allows the apprentice to complete and achieve their apprenticeship framework without further employment.
- C5. You can find details of the alternative completion condition for apprentices made redundant and the list of exempt occupational areas in in [The Apprenticeships \(Alternative English Completion Conditions\) Regulations 2012](#) and [The Apprenticeships \(Alternative English Completion Conditions\) \(Amendment\) Regulations 2013](#).
- C6. For the advanced-level apprenticeship in sporting excellence (AASE), those specific sports that are designated through the alternative completion conditions, you must:
- C6.1. have an endorsement for each AASE apprentice that the relevant national governing body (NGB) has identified the apprentice as having the potential to compete at games level and is included in the number of AASE apprenticeships agreed between the NGB and us for the funding year
 - C6.2. hold this evidence of endorsement in the learner file; if you do not have an endorsement the individual is not eligible to be funded

Apprenticeship duration

- C7. The only exception to the one-year minimum duration is for apprentices on a framework, aged 19 years or older on the day the apprenticeship starts and where you do not claim the full funding rate for the apprenticeship framework. This must be either because:
- C7.1. the funding of a mandatory learning aim is reduced due to recognised prior learning (RPL)
 - C7.2. or a mandatory learning aim is not required, as it has previously been achieved
- C8. The exception applies only to funded regulated qualifications as required by the Specification for Apprenticeships Standards in England (SASE) framework document.
- C9. You must not reduce the funding of any regulated qualifications without evidence of prior learning to allow a duration of less than one year for an apprenticeship.

What is eligible to be funded?

- C10. We will only fund a learning aim listed in the apprenticeship framework as mandatory.
- C11. We base funding for an apprenticeship framework on the apprentice's age on the day they start an apprenticeship framework. We will fully fund all apprentices aged 16 to 18 years old and co-fund those aged 19 or older.
- C12. Apprenticeship funding supports individuals to progress to higher levels of learning. Individuals who already have a qualification at Level 4 or above are only eligible for funding for a higher apprenticeship at Level 5 or above. They are not eligible for funding for an intermediate level, advanced level or Level 4 higher apprenticeship.
- C13. If an apprentice leaves without achieving, the last date of learning for all learning aims, including the apprenticeship programme learning aim, is the date you have evidence the apprentice was still in learning for any learning aim that is part of their apprenticeship.

Extending the funding for apprentices aged 19 to 24

- C14. There are two circumstances when we will fully fund 19- to 24-year-old apprentices starting an apprenticeship framework. This is where the apprentice was:

C14.1. not able to start an apprenticeship framework before their 19th birthday due to exceptional circumstances, including being in custody or having a serious illness

C14.2. a former relevant child (care leaver) as defined by the Children Act 1989.

C14.3. a child in care is defined by the Children Act 1989 as an:

C14.4. eligible child - a young person who is 16 or 17 and who has been looked after by the local authority/Health and Social Care Trust for at least a period of 13 weeks since the age of 14, and who is still looked after

C14.5. relevant child - a young person who is 16 or 17 who has left care after their 16th birthday and before leaving care was an eligible child

C14.6. former relevant child - a young person who is aged between 18 and 21 (25 if in education or training) who, before turning 18 was either an eligible or a relevant child, or both

C15. To evidence a care leaver you need a self-declaration from the apprentice.

C16. For an apprentice not able to start an apprenticeship framework before their 19th birthday due to exceptional circumstances you must:

C16.1. have evidence to demonstrate these exceptional circumstances with supporting evidence from an authoritative source, such as a local authority or probation service

C16.2. not claim full funding if, since leaving full-time compulsory education and the start date of their apprenticeship framework they have:

C16.2.1. not been living in England or

C16.2.2. have been in education or training funded by the SFA, Education Funding Agency, predecessor organisations or other government body, excluding any learning whilst in custody

Employer statement

C17. You must give each employer a statement setting out the financial value of the government's financial contribution to training their apprentices. You must provide this at the start of the apprenticeship framework and at the beginning of each funding year. We expect the format to be 'over the next funding year, Her Majesty's Government

(HMG) will contribute £*** to [insert employee's name] apprenticeship training'. The employer may need this information for State Aid purposes.

English and maths

- C18. You must follow the requirements for English and maths as set out in the apprenticeship framework.
- C19. The rules below apply to all intermediate-level apprentices who start frameworks on or after 1 August 2014.
- C20. If they already have a Level 2 in English and maths that meets the minimum requirement of the apprenticeship framework before they start then they are exempt from taking English or maths.
- C20.1. If they already have a Level 1 in either English or maths that meets the minimum requirement of the apprenticeship framework before they start they must start and continue to study Level-2 English or maths.
- C20.2. If they do not have the Level 1 in English or maths that meets the minimum requirement of the apprenticeship framework before they start they must:
- C20.2.1. be offered the opportunity to take Level 2 functional skills or GCSE qualifications in English or maths
 - C20.2.2. achieve the English and maths requirements set in the framework
 - C20.2.3. If they achieve Level 1 in English or maths during their apprenticeship, you must offer them Level-2 Functional Skills or GCSE qualifications in English or maths.
- C21. You must record the offer of Level 2 in English or maths during an apprenticeship in the learner file, and have evidence where the apprentice declines to take up the offer.
- C22. If the apprentice studies at Level 2 in English or maths where they already have qualifications that meet the requirements of the apprenticeship framework, they do not need to achieve these before framework achievement can be claimed.
- C23. You must report all English and maths delivered as part of an apprenticeship as an apprenticeship learning aim in the Individualised Learner Record (ILR).

- C24. If you claim funding for Level 1 in English or maths, you cannot claim funding for Level 2 in English or maths unless Level 1 has been achieved.
- C25. You must not claim funding for Level 1 in English and maths if the mandatory English and maths requirement of the apprenticeship framework is at Level 2.
- C26. If the apprenticeship framework specifies Level 2 in English and maths and the apprentice has achieved this before starting, we will not fund further English and maths to achieve their apprenticeship unless you:
- C26.1. carry out a thorough initial assessment to confirm that the apprentice needs to repeat English or maths to achieve their apprenticeship
 - C26.2. use this assessment to structure a programme of study for English and maths learning
 - C26.3. only enrol apprentices on qualifications listed in the framework document and necessary to achieve their apprenticeship
 - C26.4. deliver ongoing assessment
 - C26.5. record all of the assessment outcomes in the learner file
 - C26.6. use current assessment tools based on the National Literacy and Numeracy Standards and core curriculum. The tools must:
 - C26.6.1. place an apprentice's current skills levels within the Regulated Qualifications Framework levels
 - C26.6.2. be conducted by qualified individuals including, for the diagnostic assessment, a practitioner who will structure the learner's programme of study

Completion and achievement of an apprenticeship framework

- C27. You must have the outcome of all learning aims before you can ask the apprentice to confirm achievement. This includes that the apprentice has achieved all mandatory elements and they have been in learning for at least the minimum duration of the framework.
- C28. You must apply for the apprenticeship completion certificate from Apprenticeship Certificates England within three months of completion of learning.

C29. You must pass on all apprenticeship completion certificates to the apprentice.

Employer incentives

C30. The Apprenticeship Grant for Employers (AGE) 16 to 24 grant for an employer aims to support businesses, who would not otherwise be in a position to do so, to recruit individuals aged 16 to 24 into employment through an apprenticeship framework.

C31. You must:

C31.1. refer to the eligibility criteria set out in the [AGE Training Organisation Fact Sheet](#) and in the provider's AGE Funding Appendix

C31.2. obtain an employee declaration that confirms details of their eligibility and that they understand the conditions under which the grant is paid

C31.3. pass on the AGE payment to the employer within 30 working days of receiving it from us

C31.4. report in the ILR the Employer Reference Number for the employer receiving the grant and the Learning Delivery Monitoring code applicable for AGE

Apprenticeship learner support

C32. We will support apprentices that need help where there are circumstances, such as redundancy, where the apprentice suffers hardship that affects their ability to continue and complete their apprenticeship.

C33. If there is genuine hardship that could be an obstacle to the learner during their apprenticeship, you can claim learner support to help them.

C34. We expect that employers will support apprentices for their additional expenses. However, you are permitted to do so if the apprentice is in genuine need (for example, in the case of redundancy and temporary unemployment).

C35. You must promptly claim for learner support from your apprenticeship budget through the Earnings Adjustment Statement. We will not pay you for claims from a previous funding year if you do not claim on time.

Glossary

20+ childcare	Within discretionary learner support, a category of support to assist learners aged over the age of 20 who are at risk of not starting learning or leaving learning due to issues in obtaining childcare.
Achievement funding	The proportion of our funding which is held back to be paid to a provider on the achievement of a learning aim or framework.
Advanced-level apprenticeship	An apprenticeship where learning is at Level 3.
Advanced apprenticeship in sporting excellence (AASE)	A framework where the main aim is at Level 3 and the apprenticeship is in an agreed list of sports where alternative completion conditions apply.
Alternative completion conditions	Agreed circumstances in which individuals do not need to have an apprenticeship agreement.
Apprenticeship agreement	An agreement between an employer and an apprentice in accordance with the Apprenticeships, Skills, Children and Learning (ASCL) Act 2009 sections 32 to 36.
Apprenticeship training agency (ATA)	An organisation whose main business is employing apprentices who are made available to employers for a fee.
Break in learning	When a learner is not continuing with their learning but has told you beforehand that they intend to resume their learning in the future.
Care to learn	A Department for Education scheme to assist young parents under the age of 20 with the childcare costs that may form a barrier to them continuing in education.
Components of regulated qualifications	A subset of a qualification, which could be a unit.
Direct costs of learning	Any costs for items without which it would be impossible for the learner to complete their learning aim. This can include the costs of registration, examination or any other activities or materials without which the learner cannot achieve their programme of study.

Distance learning	Learning delivered away from the learner's main place of employment or place of learning.
Earnings adjustment statement (EAS)	The form providers need to fill in to claim funding that cannot be claimed through the Individualised Learner Record.
Education Funding Agency (EFA)	The EFA is responsible for distributing funding for state education in England for 3- to 19-year-olds, as well as managing the estates of schools and colleges.
Education health care (EHC) plan	An EHC plan replaces statements of special educational needs and learning difficulties assessments for children and young people with special educational needs. The local authority has the legal duty to 'secure' the educational provision specified in the EHC plan, that is, to ensure that the provision is delivered.
Employed	An individual who has a contract of employment. This does not include individuals who are self-employed.
English for speakers of other languages (ESOL)	The study of English by speakers of other languages.
European social fund (ESF)	The ESF is a structural fund from the European Union. It improves the skills of the workforce and helps people who have difficulties finding work. We are a co-financing organisation for the ESF.
Exceptional learning support	Learning support when the needs of the learner are over £19,000 in a single year.
Find an apprenticeship	A website for employers and apprentices.
Flexible element	Within a traineeship, the elements that sit alongside the core elements to form the qualification.
Full Level 2	The following qualifications are now designated full at Level 2. <ul style="list-style-type: none"> • Five GCSEs at grade 5 and above, or C and above. • Technical Certificates at level 2 which appear in the 16 to 19 performance tables. • Other approved technical and professional qualifications at Level 2 which are part of the

	RQF and listed as a requirement of the legal entitlement, which must be at least 150 GLH.
Full Level 3	<p>The following qualifications are now designated full at Level 3.</p> <ul style="list-style-type: none"> • Quality Assurance Agency for Higher Education (QAA) Access to Higher Education Diplomas at level 3. • Two A-levels. • Tech Levels at level 3 which are in the 16 to 19 performance tables. • Applied general qualifications at level 3 which are in the 16 to 19 performance tables. • Other approved technical and professional qualifications at level 3 which are part of the RQF and listed as a requirement of the legal entitlement, which must be at least 300 GLH.
Functional skills	Applied practical skills in English, maths and ICT, that provide the learner with the essential knowledge, skills and understanding to enable them to operate effectively and independently in life and work.
Grant-funded providers	Providers with a financial memorandum or conditions of funding (grant).
Guided learning	<p>As defined by Ofqual: “The activity of the learner in being taught or instructed by – otherwise participating in education or training under the immediate guidance or supervision or – a lecturer, supervisor, tutor or other appropriate provider of education or training. For these purposes the activity of ‘participating in education and training’ shall be treated as including the activity of being assessed if the assessment takes place under the immediate guidance or supervision of a lecturer, supervisor, tutor or other appropriate provider of education or training.” You can find more information in the Ofqual General Conditions of Recognition September 2015.</p>
Hardship	Within Learner Support, a category of support to assist vulnerable and disadvantaged learners to remove barriers to education and training.
High needs students (HNS)	Those who need more support than normal to get access to, progress towards and successfully achieve their learning goals.

Higher and degree apprenticeships	An apprenticeship where the main learning is at Level 4 or above (including higher education qualifications).
The Hub	The Hub provides online services including the return of your individualised learner record (ILR) and completed EAS. You can also search all learning aims, components of qualifications, apprenticeship frameworks and standards along with their validity and funding details.
Immigration status	The permissions, or otherwise, granted by the government of the United Kingdom for an individual to reside here.
Individualised learner record (ILR)	The primary data collection requested from learning providers for further education and work-based learning in England. The data is used widely, most notably by the government, to monitor policy implementation and the performance of the sector. It is also used by organisations that allocate funding for further education.
Information advice and guidance (IAG)	Services available to learners to enable them to consider further learning opportunities, progression and career choices.
Intermediate-level apprenticeship	An apprenticeship where learning is at Level 2.
Job outcome payments	Payments made for learners who are unemployed at the start of learning who cease learning to take up a job.
Large employer	An organisation who appears on the large employer list because they, their subsidiary or their parent company, have cumulatively more than 1,000 employees, as recorded on the Employer Data Registration Service.
Learner file	<p>A collection of documents and information brought together to form a single point of reference relating to the learning that is taking place.</p> <p>This provides the evidence to prove that the learner exists and is eligible for funding, and for the learning to be provided.</p>
Learner support	Funding to enable providers to assist learners with a specific financial hardship that might prevent them from being able to complete their learning.

Learning aim reference number	The unique eight-digit code used to identify a specific learning aim .
Non-prescribed higher education (NPHE)	This includes regulated qualifications at Level 4 and above, offered by Ofqual-recognised awarding organisations. NPHE excludes first degrees, foundation degrees and higher nationals which are deemed prescribed higher education (PHE). Generally, NPHE will be technical and professional in nature.
Non-regulated activity	Learning which is not subject to awarding organisation external accreditation in the form of a regulated qualification. It may be designed for learning, delivered and certificated by a provider or another organisation. This could include: <ul style="list-style-type: none"> • independent living skills • employability and work skills • labour market re-entry • vocational tasters • engaging the hard-to-reach
Ofqual	The Office of Qualifications and Examinations Regulation which regulates qualifications, examinations and assessments in England and vocational qualifications in Northern Ireland.
Ordinarily resident	For funding purposes, a person who normally lives in the country, are allowed to live there by law, and return there after temporary trips outside the country. Temporary absences from a country due to the learner or a relevant family member working or travelling abroad would be discounted when considering ordinary residency.
Personal learning record (PLR)	A database which allows individual learners access to their past and current achievement records. These can be shared with schools, colleges, further education training providers, universities or employers.
Learning planned end date	The date entered onto the individualised learner record (ILR) when the learner is expected to complete their learning.
Prescribed higher education	Any provision at Level 4 or above which is classed as a first degree, foundation degree or higher national.
Provision subcontracting	When you subcontract the delivery of full programmes or frameworks. It is not subcontracting the delivery of a service as part of the delivery of a programme (for

	example, buying the delivery of a service as part of an apprenticeship framework or outreach support).
Recognition of prior learning (RPL)	An assessment method that considers whether a learner can demonstrate that they can meet the outcomes for a qualification or a component of a qualification through knowledge, understanding or skills they already have and so do not need to undertake a course of learning for that component or qualifications.
Register of training organisations (the Register)	A register that provides assurance on organisations that deliver education and training services by the SFA, or subcontractors with less than £100,000 in our supply chain. Organisations apply to enter the register by completing our market-entry pre-qualification process which includes due diligence questions and testing of capacity and capability.
Residential	Support provided under learner support to learners receiving specialist provision which involves a residential element, or to support learners who cannot receive provision locally.
Regulated qualifications framework (RQF)	The RQF provides a way of understanding and describing the relative level and size of qualifications. The RQF is a single regulatory framework containing a range of general and vocational qualifications.
Senior responsible person	For example: chief executive, managing director, principal or their equivalent.
Self-certification	A process where the learner is able to confirm something through their own signature.
Small or medium-sized enterprise (SME)	The category of micro, small and medium-sized enterprises made up of enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding 50 million euros, and/or an annual balance sheet total not exceeding 43 million euros.
Start of learning	The date on which learning begins. We do not consider enrolment, induction, diagnostic assessment or prior assessment to be part of learning.
State benefits	State benefits are contributions, both financial and non-financial, made by central and local government to individuals in certain circumstances to meet their day-to-day living needs.
Study programme	Study programmes are aimed at learners aged 16 to 19 and cover all levels up to Level 3. Funding is for each

	learner, rather than for each qualification and can only have one core aim at a time.
Subcontractor	A legal entity that has an agreement with you to deliver education and training funded by us.
Traineeship	A programme to help unemployed young people to develop the necessary skills and experience to progress to an apprenticeship or long-term work.
UK Provider reference number	A number given to all providers by the UK register of learning providers to enable them to be easily identified.
Unique learner number	A 10-digit number used to match a learner's achievement to their personal learning record (PLR).
Vulnerable student bursary	A bursary for 16- to 18-year-old learners undertaking a traineeship who fall under defined vulnerable groups.
Work placement	A placement with an employer in a workplace setting as part of a traineeship.
Work programme	A government programme operated by the Department for Work and Pensions aimed at getting long-term unemployed individuals into work.
Zero-hour contracts	Contracts which do not specify a set number of hours for the employee.



© Crown copyright 2016

You may re-use this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence.

To view this licence, visit <http://www.nationalarchives.gov.uk/doc/open-government-licence/> or e-mail: psi@nationalarchives.gsi.gov.uk.

Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned.

This document is also available from our website gov.uk/sfa.

If you have any enquiries regarding this publication or require an alternative format, please contact us info@sfa.bis.gov.uk