Liverpool City Region
Adult Education Budget

Funding and Performance Management Rules
For the 2019/2020 Academic Year
(1 August 2019 to 31 July 2020)

This document sets out the funding and performance management rules that apply to all Providers of education and training who receive Adult Education Budget funding for Liverpool City Region residents.

August 2019
Version 1.0
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GLOSSARY
1. **SUMMARY OF RULES**

1.1 From academic year 2019/2020, a proportion of the national Adult Education Budget (AEB) will be devolved to local areas. The Liverpool City Region Combined Authority (the Combined Authority) will be responsible for commissioning and funding AEB provision for learners’ resident within the local area whilst the Education and Skills Funding Agency (ESFA) will be responsible for funding residents outside of devolved areas.

1.2 The AEB aims to engage adults and provide the skills and learning they need to equip them for work, an apprenticeship or other learning. It enables more flexible tailored programmes of learning to be made available, which may or may not require a qualification, to help eligible learners engage in learning, build confidence, and/or enhance their wellbeing.

1.3 The Combined Authority is adopting a dual approach to the commissioning of devolved AEB. All of the Liverpool City Region based Colleges and Local Authorities will continue to be grant funded, this will include their Community Learning allocations. All other Providers will be required to tender for a contract for services to deliver AEB provision.

1.4 This document sets out the AEB Funding and Performance Management rules for the 2019/2020 academic year (1 August 2019 to 31 July 2020) for the Combined Authority. The rules apply to all Providers of education and training who receive AEB funding from the Secretary of State for Education acting through the Combined Authority for Liverpool City Region residents only.

1.5 The Combined Authority devolved AEB funding is ring fenced for the purposes set out in these Funding and Performance Management rules. It cannot be used to support other nationally funded programmes, including:

- Apprenticeships;
- Advanced learner loans;
- Traineeships for 16-18 year olds or 19-23 year olds;
- Non devolved AEB contracted by ESFA outside Liverpool City Region;
- Education and training services funded by the European Social Fund; and
- Other devolved AEB funding in neighbouring or other City Regions.

**Liverpool City Region Priorities**

1.6 Providers must respond to the skills priorities detailed within Liverpool City Region’s Skills Strategy 2018-2023\(^1\). The Strategy sets a vision for an improved skills system, able to respond to changing global and local conditions, so that in five years the Liverpool City Region will have:

> “An outstanding and effective skills system that meets the needs of employers, individuals of all ages and communities and drives high aspirations and attainment, to create a truly global and competitive City Region at the heart of the Northern Powerhouse”

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\(^1\) [http://liverpoolcityregion-ca.gov.uk/uploadedfiles/documents/LCRCA_SKILLS_STRAT.pdf](http://liverpoolcityregion-ca.gov.uk/uploadedfiles/documents/LCRCA_SKILLS_STRAT.pdf)
1.7 The Strategy identifies a focused series of actions designed to improve the employment levels of individuals, improve the access of employers to skills and increase the productivity of employers across Liverpool City Region. These are:

**OUTCOMES**

- Improve attainment in English, Maths and Digital and work readiness
- Raise working age employment rate and increase percentage of good quality jobs
- Higher productivity and lower skills shortages in growth sectors
- More effective workforces and fewer local recruitment difficulties across all sectors
- Employers are investing more in the skills of their workforces

**KEY ACTIONS**

- Multi-agency actions to raise attainment among young people
- Careers hub improves progression pathways to quality work
- Increase flexibility of employment and skills services
- Targeted services to improve labour market inclusion
- Develop planned approach to graduate retention
- Promote employer collaboration to address skills shortage areas
- With employers design skills and jobs plan to tackle replace demand challenge
- Improve quality and accessibility of labour market information
- Enhance management and leadership skills in SMEs
- Support employers to source skills provision tailored to individual requirements

**MEASURES**

- NEET rate for 19-24 year olds
- Prior qualifications of young people 16-24 starting an apprenticeship
- Proportion of working age disadvantaged people employed
- Inactivity rates among 18-24
- Starts and outcomes from AEB provision
- Proportion of employers reporting shortages / gaps in technical skills
- Productivity measured by GVA / hour
- Proportion of population with no qualifications
- Employment rate for inclusion groups
- Employers reporting hard to fill vacancies
- Number of apprenticeship starts
- Starts on higher / degree apprenticeships
- Employer investment in workforce development
General Funding Requirements

1.8 The Combined Authority will build upon previous national AEB Funding and Performance Management Rules with some adaptations to accommodate local delivery priorities for Liverpool City Region residents in 2019/2020.

1.9 These rules are technical in nature, produced for an audience of Colleges, Local Authority Adult and Community Learning Providers, Independent Training Providers and other Providers (known henceforth as Providers). They are a reference document for the purposes of delivering AEB funded learning for Liverpool City Region residents for the academic year 2019/2020.

Liverpool City Region AEB Funding Rules

1.10 Key features and local adaptations to existing Education and Skills Funding Agency (ESFA) AEB Funding Rules, when published, for Liverpool City Region residents in 2019/2020 are outlined below:

<table>
<thead>
<tr>
<th>Section</th>
<th>Key features and local adaptations</th>
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</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>The Combined Authority devolved AEB funding is ring fenced for the purposes set out in these Funding and Performance Management rules. It cannot be used to support other nationally funded programmes, including:</td>
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<td>• Traineeships for 16-18 year olds or 19-23 year olds;</td>
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<td>• Non devolved AEB contracted by ESFA outside Liverpool City Region;</td>
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<td>• Education and training services funded by the European Social Fund; and</td>
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<td>• Other devolved AEB funding in neighbouring or other City Regions.</td>
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<td></td>
<td>We use the terms 'individual' and 'learner' to cover those Liverpool City Region residents whose provision is funded by us. Eligible learners will reside in Halton, Knowsley, Liverpool, Sefton, St Helens and Wirral.</td>
</tr>
<tr>
<td>Section 1 – Liverpool City Region AEB Funding Requirements</td>
<td>You must not transfer, cross or double fund learning between the following ring fenced budgets and funders (or any other funding - this list is not exhaustive):</td>
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<tr>
<td></td>
<td>• AEB budget devolved to the Liverpool City Region for Liverpool City Region resident learners;</td>
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<td>• AEB from national ESFA funds in separate funding;</td>
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<td>• AEB sourced from other devolved City Regions;</td>
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</table>
### Section 1 – Key features and local adaptations

- Advanced learner loan funding where AEB devolved to Liverpool City Region supports learning aims at Level 3 and above; and
- Any other funding.

The LCRCA will negotiate Grant Funding Agreements with General FE Colleges, Sixth Form Colleges (and academy trusts incorporating former sixth form colleges) and Local Authorities with campuses located within the Liverpool City Region at our discretion and in line with legal advice.

Liverpool City Region’s market entry point for other organisations that intend to deliver AEB funded provision to Liverpool City Region residents is our standard Selection Questionnaire, Invitation to Tender and due diligence checks. These will be issued as part of any commissioning calls for new provision, followed by a specification of the delivery required.

Locally funded AEB Providers do not have to complete and update the Register of Training Organisations.

We will inform you should we plan to utilise devolved AEB funding allocated to you as match for ESF or any other funding that will require potential audit and alter the document retention requirements beyond that ordinarily required.

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 without our prior approval in writing.

Providers should not actively engage learners in devolved skills areas where they do not have a devolved AEB funding award or allocation; and

Providers must not actively recruit learners who live or work in other devolved administration areas for skills and must develop arrangements with the relevant devolved administration if they are planning to deliver a significant quantity of learning to learners who reside in other devolved skills areas.

### Section 2 – What we will Fund

- Requirements for Subcontractors to be on the Register of Training Organisations have been removed.
- Your Subcontractors do not need to register with the Combined Authority, however we expect full due diligence checks to be undertaken by Lead
<table>
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| Subcontracted Learning and Annex A | Providers and all subcontracted provision to be declared to the Combined Authority for agreement prior to the commencement of any learning by the Subcontractor. This must be confirmed in writing with the Combined Authority.  
- Subcontracts of all values will be declared and published once agreed by the LCRCA.  
- If your organisation does not apply a rigorous subcontracting due diligence process, we will review your funding arrangements and limit or remove your ability to subcontract provision.  
- All subcontracted Providers must have a valid UKPRN number and be registered on the UK Register of Learning Providers. [https://www.ukrlp.co.uk/](https://www.ukrlp.co.uk/)  
- You must not appoint any delivery Subcontractors for a period greater than a single academic year.  
- The funding you retain in relation to each Subcontractor’s AEB delivery for that funding year must be capped at a maximum of 20% of subcontracted earnings unless otherwise agreed in writing by us.  
- You must obtain information from each proposed delivery Subcontractor in relation to the other subcontracts they hold, including those published on List of Declared Subcontractors by the Education and Skills Funding Agency and other funders.  
- You must ensure any delivery Subcontractor you appoint continues to meet the requirements of your due diligence procedures on a regular basis and that you provide them with all the necessary support agreed as part of your subcontract terms and conditions. |
<p>| Section 2 – What we will Fund - Test and Learn Pilots (Lot 2) | Flexibilities, and test and learn pilots, are intended to help Providers develop different delivery methodologies that can be mainstreamed in the longer term dependent upon successful outcomes being realised that go beyond the delivery of qualifications for residents - with a stronger emphasis on progression to further learning or employment. |
| Section 4 – Who we will fund | You may fully fund learners, who are employed and would normally be co-funded where the learner is eligible for co-funding, and earns less than £17,550 annual gross salary. The Combined Authority has increased this threshold salary level to the Real Living Wage or the equivalent of £17,550 per annum (as of detailed here) enabling a greater proportion of learners to access fully funded skills provision. |</p>
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<tr>
<th>Section</th>
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<tbody>
<tr>
<td>Section 5 - Community Learning Allocations to Grant Funded Providers</td>
<td>Providers in receipt of a Community Learning Grant allocation in Liverpool City Region will produce an individual Provider Adult and Community Learning Delivery Plan. In addition to this, Colleges and Local Authority Providers with Community Learning within their allocation maybe required to produce a simple locality based collaborative Adult and Community Learning Plan with neighbouring Providers to be produced and agreed prior to the commencement of learning funded via this route to support learner progression.</td>
</tr>
</tbody>
</table>
| Section 7 - Narrowing of the gap of underrepresented learners – Equality and Diversity Impact Measures | You are required to record and monitor core Equality and Diversity Impact Measures including participation and achievement of:  
- Learners aged 50 and over with low skills  
- Black and minority ethnic learners;  
- Learners with learning difficulties and/or disabilities;  
- Underrepresented learners by gender specific to your provision; and  
- Former Armed Forces staff (all ages not just those in receipt of pension). |
| Section 9 – Learner and learning support funding | You must submit Exceptional Learner Support (ELS) claims at the beginning of the learner’s programme, or when you identify the learner requires support costs more than £19,000 in a funding year, by completing and sending the ELS claim form to aeb@liverpoolcityregion-ca.gov.uk copying in your Relationship Manager. |
The Combined Authority is testing outcome payments linked to work experience and job outcomes resulting from Sector-based work academies in 2019/2020. A Sector-based work academy can last up to 6 weeks and has 3 main components:
- Pre-employment training that is relevant to the needs of the business and sector;
- Work experience placement; of benefit to both the individual and business; and
- A guaranteed job interview.

Sector-based work academy vocational related learning will be earned from Provider’s allocation and evidenced / claimed through the ILR.

The Combined Authority will also allow Providers to earn Sector-based work academy related work experience and job outcome payments (from their allocation). These outcome payments will be claimed through an Earnings Adjustment Statement rather than the ILR. These must be agreed in advance with the Combined Authority.

### Liverpool City Region AEB Performance Management

1.11 Key features and local adaptations to existing ESFA AEB Performance Management Rules for Liverpool City Region residents are outlined below:

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<thead>
<tr>
<th>Section</th>
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<tr>
<td>Section 12 – AEB Grant Funding Agreements</td>
<td>Your funding agreement will state the maximum amount of AEB provision you can deliver between 1 August 2019 and 31 July 2020. It will also state the maximum value of non-formula funded including Community Learning we will fund and where applicable an amount of funding related to a test and learn pilot.</td>
</tr>
<tr>
<td>Section 13 – AEB Contract for Services Carry-in learners</td>
<td>Carry-in learners for 2019/2020 for adult skills, non-formula funded community learning (where applicable to you) and learner support prior to the devolved AEB budget to the Combined Authority are to be funded directly by the ESFA.</td>
</tr>
<tr>
<td>Section 14 - Changes to your contract values</td>
<td>If significant new funding becomes available in-year that would make a material difference to individual Provider contract values, we will give Providers the</td>
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<tr>
<td>Section</td>
<td>Change</td>
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<tr>
<td>AEB Delivery Plan / Allocation</td>
<td>opportunity to request an exceptional allocation change. We will do this using a change request process aligned to the needs set out in the Combined Authority Skills Strategy. We will notify Providers in good time if we plan to launch an exceptional change request process.</td>
</tr>
</tbody>
</table>
| Section 14 - Changes to your AEB Delivery Plan / Allocation | New funding and funding recycled from underperformance may be offered to Providers who meet the following criteria:  
- If you have evidence of AEB eligible demand for learning that meets local priorities;  
- If you have an AEB grant funding agreement, and are on or ahead of profile for delivery in year; or  
  If you have an AEB contract for service, and are on or ahead of profile for delivery in year against your Monthly Financial profile at the performance-management points;  
- You have a good track record (see above). Please note you will be judged on the accuracy of your forecasts for any future change requests;  
- You are not under notice for failure of inspection or breach of contract;  
- Any Provider under a notice to improve, additional conditions of funding or additional contractual obligations in relation to minimum quality standards for 19+ education and training will be assessed at the discretion of the LCRCA. |
| Section 16 - Test and Learn pilot (including Lot 2) payments | • Test and Learn pilot allocated funding to Providers will be paid to a profile detailed in your Delivery Plan / Measurement Plan.  
• The Combined Authority reserves the right to recover unspent funding allocations following an end of year review, evaluation and reconciliation process. |

1.12 Please note this is not an exhaustive list of all key features and changes. You must refer to the full rules, which apply to all Providers of devolved AEB education and training who receive funding from the Combined Authority.
2. INTRODUCTION AND PURPOSE OF THE DOCUMENT

Devolved Adult Education Budget

2.1 Devolution of the AEB was a key element of the Liverpool City Region’s Devolution Agreement of November 2015. The introduction of this policy change for adult skills provision from academic year 2019/2020 will enable learning to be more flexible and agile in its application, and able to meet local employer and learner needs. It will support the Liverpool City Region Skills Strategy\(^2\) vision for an improved skills system, able to respond to changing global and local conditions.

2.2 This document forms part of the terms and conditions of funding for Providers, in conjunction with their grant funding agreement and/or contract for services with Combined Authority. Providers must operate within the terms and conditions of the grant funding agreement and/or contract for services, these rules, and the Individualised Learner Record (ILR) specification required to be completed for all Department for Education funding, including devolved AEB. If Providers do not, they are in breach of the funding agreement with the Combined Authority.

Understanding the Terminology

2.3 From this point forward ‘we’ or ‘us’ or ‘Combined Authority’ refers to the Liverpool City Region Combined Authority as the funder, whilst ‘you’ or ‘Providers’ refers to the grant funding agreement holder or contract for services holder unless stated otherwise.

2.4 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.

2.5 We use the term ‘funding agreement’ to include: grant funding agreement (typically grants with indigenous Colleges and Local Authorities within Liverpool City Region) and/or contract for services (other colleges, Higher Education Institutes, Independent Training Providers and third sector organisations).

2.6 We use the terms ‘individual’ and ‘learner’ to cover those Liverpool City Region residents whose provision is funded by us. Eligible learners will reside in Halton, Knowsley, Liverpool, Sefton, St Helens and Wirral.

2.7 We use the term ‘provision’ to refer to all learning that we fund, whether it is a regulated qualification or other learning that is not a regulated qualification as detailed in the Learning Aims Reference Service [https://data.gov.uk/dataset/learning-aim-reference-service](https://data.gov.uk/dataset/learning-aim-reference-service) or as agreed with the Combined Authority.

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

2.9 If we refer to 'learning aims', we mean a single episode of learning which could be a regulated qualification, a component of a regulated qualification or nonregulated learning.

2.10 If we refer to ‘programmes’ we mean a coherent package of learning which may include regulated qualifications, components of regulated qualifications or nonregulated learning with clearly stated aims supporting agreed outcomes.

How this document can help you

2.11 We have divided this document into two parts that contain the AEB specific funding rules, and payment and performance management rules.

2.12 Each section may include the context at the start of each section, and/or the rule itself as a numbered paragraph. We have included a glossary to explain technical terms.

2.13 These funding rules should be read alongside:

- Liverpool City Region Combined Authority’s Skills Strategy 2018–2023;
- 2019/2020 ILR Specification;
- The Gov.UK reference guides on qualifications eligible for public funding found [here](#) including:
  - Adult education budget: legal entitlements and qualification eligibility principles;
  - English and math’s legal entitlement offer;
  - Level 2 and level 3 legal entitlement offer;
  - Adult education budget: funding rates and formula; [Link];
  - Qualification achievement rates and Minimum Standards; [Link];
- Liverpool City Region AEB Grant Funding Agreement; and/or
- Liverpool City Region AEB Contract for Services.

2.14 All information including hyperlinks were correct on publication of this document, although where the latest versions do not yet exist, Providers are guided to source the 2019/2020 iterations of documents when available.

2.15 The Combined Authority reserves the right to make changes to these rules during the academic year.

Contacting us

2.16 You can contact us at [aeb@liverpoolcityregion-ca.gov.uk](mailto:aeb@liverpoolcityregion-ca.gov.uk). Organisations with a funding agreement/contract for services can also make contact through their assigned Relationship Manager.
3. BACKGROUND

Liverpool City Region: Opportunities and Challenges for Adult Skills

3.1 Liverpool City Region Skills Strategy\(^3\) sets a vision for an improved skills system, able to respond to changing global and local conditions, so that in five years the Liverpool City Region will have:

"An outstanding and effective skills system that meets the needs of employers, individuals of all ages and communities and drives high aspirations and attainment, to create a truly global and competitive City Region at the heart of the Northern Powerhouse"

3.2 The Strategy identifies a focused series of actions designed to improve the employment levels of individuals, improve the access of employers to skills and increase the productivity of employers across Liverpool City Region. These are shown in section 1.7. Please see diagram Page 7.

3.3 The scale of the challenge and demands on the AEB in Liverpool City Region are significant. Within our Skills Strategy vision, devolution of the AEB will support Liverpool City Region’s ambitions for its residents and businesses and our emerging Local Industrial Strategy. This includes delivering outcomes to narrow gaps for key cohorts, such as the need for greater engagement of residents with low-level skills, those aged over 50, reducing the minority ethnic and disability employment gaps and targeting those who are economically inactive or unemployed in order to meet the skills required by employers.

3.4 Employment forecasts for Liverpool City Region suggest that the number of jobs will grow by 22,200 up to the year 2025. This number could increase by up to 75,000 jobs by 2025 if a series of transformational developments go ahead. The forecasts represent net new jobs to the Liverpool City Region economy and do not take into account the jobs that will require new employees to replace those who retire or otherwise leave the workforce. Broad estimates suggest that around 26,000 existing jobs need to be filled each year and these will far outweigh newly created employment opportunities. Meeting this replacement demand with skilled labour is a vital challenge and a key opportunity for local residents.

3.5 Labour supply remains a risk for the economy as forecasts indicate that the working age population will shrink by some 3.7 per cent (36,000 people) up to 2030. Our sector focused Liverpool City Region Skills for Growth Action Plans identify, in detail, the specific skills gaps that are affecting employers and the joint action that employers and Providers need to take in addressing those gaps.

3.6 Against a national skills policy backdrop, which entitles learners aged 19-23 years to a fully funded first Level 2 qualification, 23.8% of Liverpool City Region residents aged 16-24 years (around 40,900 people) do not have at least a first Level 2 qualification. Of these, 16,200 or 9.4% have no qualifications and a further 19,500 or 11.3% are only qualified to Level 1.

\(^3\) http://liverpoolcityregion-ca.gov.uk/uploadedfiles/documents/LCRCA_SKILLS_STRAT.pdf
3.7 Of Liverpool City Region’s working age residents (16-64 years) 28% or 269,500 do not have a first Level 2 qualification, and 16.8% or 160,700 have below Level 1 or no qualifications. Approximately half of these residents (81,400) were in employment, which has implications for productivity and business growth, as well as residents’ likelihood of progression and social mobility. (Source: Annual Population Survey – January to December 2017).

3.8 Educational performance is mixed across the City Region. Achievement of GCSEs at age 16 varies significantly, with Wirral and Halton schools above the national average, but other local authority areas are under-performing, most significantly in Knowsley. The impact of this lower educational performance at age 16 has detrimental implications for AEB delivery at age 19 and above.

3.9 The opportunities for learners to develop the technical skills that employers need are often lost whilst learners ‘catch up’ on English and math’s and Level 2 qualifications, meaning that young people would need to stay in full-time education for longer to make up for this prior to progressing to Level 3. This contributes to the lower attainment of Level 3 qualifications by City Region residents aged 19.

3.10 This is part of a long-standing picture of skills gaps between the Liverpool City Region’s performance and the national picture that is reflected in other employment and skills indicators and correlates with the relatively high levels of deprivation in the Liverpool City Region compared to the rest of the country.

**Liverpool City Region: Principles of Funding**

3.11 In 2019/2020, the Combined Authority will build upon previous national AEB Funding and Performance Management Rules with adaptations to accommodate local delivery priorities for Liverpool City Region residents in 2019/2020.

3.12 This approach will provide continuity for those Colleges and Providers with existing funding agreements prior to devolution and certainty of learner funding eligibility and funding rates in the short term. Over time, the Combined Authority will make crucial changes following devolution to local funding and performance management rules, rates and learner eligibility criteria for fully funded delivery.

3.13 Our initial focus will be to work with Colleges, Local Authorities and Independent Training Providers to build an evidenced based social and business case for future changes. In the longer term, a step change is needed for residents to become more economically productive and engage more effectively in their local communities. The Combined Authority will make improvements in the short, medium and longer term through:

- Collaboration between Providers;
- Encouraging co-location and co-delivery of services;
- Engagement and training of economically inactive and unemployed people;
- Narrowing of the gap of underrepresented learners; and
- Aligning local commissioning of AEB with other funding streams.
3.14 The Liverpool City Region commissioning approach is underpinned by the following delivery principles, designed to convey clarity and transparency:

- Local skills investment priorities will be aligned to Skills Strategy outcomes;
- The Combined Authority will align, where possible, with national policy on funding eligibilities, rates and entitlements and will seek to improve or enhance these in support of local priorities as appropriate;
- The Combined Authority will encourage new market developments and innovation that strengthens the local Provider base and responds to needs and opportunities;
- Skills funding decisions including European Social Fund and Skills Capital will be considered alongside the AEB;
- Subcontracting will be agreed where this adds value to the mix and balance of provision locally and enriches the learning offer; and
- Allocations and details of commissioned provision will be openly published to ensure transparency of process.
PART 1 – LIVERPOOL CITY REGION AEB SPECIFIC FUNDING RULES

Section 1 – Liverpool City Region AEB Funding Requirements

1. These funding rules apply to all learners starting new learning aims on or after 1 August 2019 who are a resident within Liverpool City Region at the commencement of learning for Colleges and Providers with a grant funding agreement or contract for services with the Combined Authority.

2. Individuals continuing their learning from the 2018/2019 funding year who were a resident within Liverpool City Region at the commencement of learning will be funded through their ESFA allocation in the 2019/2020 academic year.

3. You must not transfer funding between the Combined Authority procured contracts for services and grant funding agreements should a Provider hold both.

4. The Combined Authority will negotiate Grant Funding Agreements with general Further Education colleges, sixth form colleges (and academy trusts incorporating former sixth form colleges) and local authorities with campuses located within the Liverpool City Region at our discretion and in line with legal advice.

5. Liverpool City Region’s market entry point for other organisations that intend to deliver AEB funded provision to Liverpool City Region residents is our standard Selection Questionnaire, Invitation to Tender and due diligence checks. These will be issued as part of any commissioning calls for new provision, followed by a specification of the delivery required.

6. Locally funded AEB Providers do not have to complete and update the Register of Training Organisations.

7. Where a Provider funding agreement / contract for services contains specific ring fenced budgets, e.g. for test and learn / procured Lot 2 pilot provision, this should not be transferred or expended on any learning or learner support outside of the pilot without the written permission of the Combined Authority.

8. You must not transfer, cross or double fund learning between the following ring fenced budgets and funders (or any other funding - this list is not exhaustive):
   - AEB budget devolved to Liverpool City Region for Liverpool City Region resident learners;
   - AEB from national ESFA funds in separate funding;
   - AEB sourced from other devolved City Regions; and
   - Advanced Learner Loan funding where AEB devolved to the Liverpool City Region supports learning aims at Level 3 and above; and
   - Any other funding.

9. We will review and monitor whether the education and training you provide represents good value for money. If we consider the funding of education and training we have provided is significantly more than the cost, we may reduce the amount of funding we pay after consulting with you.
10. You must check the eligibility of the learner and their residency ensuring they reside within the local authority areas of Halton, Knowsley, Liverpool, Sefton, St Helens and Wirral at the start of each learning aim and only claim funding for eligible learners unless otherwise agreed in writing with the Combined Authority. Learner postcodes can be checked for eligibility at [https://www.gov.uk/find-local-council](https://www.gov.uk/find-local-council).

11. Where we refer to a learner’s age being 19 this relates to the learner being aged 19 or over on the 31 August within the funding year they start a learning aim. For all other purposes, the age of the learner is at the start of each learning aim. Eligible learners for AEB in Liverpool City Region include those:

- Aged 19 or older within the 2019/2020 funding year; or
- Aged 25 on 31 August within the 2019/2020 funding year or older for learners that previously had an Education Health and Care Plan; and
- Agreed in advance by exception with the Combined Authority in writing.

12. A learner's eligibility will not change during a learning aim.

13. Learners will be eligible for funding for the whole of the learning aim if they are eligible for funding at the start, even if the duration is for over one academic year. You must reassess the learner eligibility for any further learning they start.

14. Any learner, of any age, must be able to achieve the learning aim or programme of study in line with their initial assessment and individual learning plan.

**Cross border learners**

15. Providers should not actively engage learners in devolved skills areas where they do not have a devolved AEB funding award or allocation.

16. Providers will be able to meet the needs of learners’ resident outside Liverpool City Region from ESFA funding or other funding from other devolved AEB Mayoral Combined Authority areas if funded by these organisations and contracts/grants are in place with each one.

17. Providers must not actively recruit learners who live or work in devolved administration areas for skills and must develop arrangements with the relevant devolved administration if they are planning to deliver a significant quantity of learning to learners who reside in devolved skills areas.

18. Grant funded providers will receive in 2019/20 a proportion of their allocation from which they can support learning for residents of the Greater Manchester devolved AEB Mayoral Combined Authority Area.

19. **BY EXCEPTION AND WITH PRIOR PERMISSION FROM LIVERPOOL CITY REGION COMBINED AUTHORITY:** Providers who do not hold an ESFA AEB funding agreement or funding from a neighbouring devolved AEB Combined Authority area may be allowed with permission to fund learners that are resident outside of Liverpool City Region. In all other circumstances Providers, starting learners that are not resident within Liverpool City Region will be considered ineligible and unfunded by the Combined Authority.
Funding rates and formula

20. You can access this information in the Adult Education Budget: funding rates and formula 2019 to 2020. During the first year of AEB devolution, the Combined Authority will adopt the national funding rates and formula unless otherwise agreed as part of a pilot later described within these funding rules.

Fees and charging

21. You must not make compulsory charges relating to the direct costs of delivering a learning aim to learners we fully fund, including those with a statutory entitlement to full funding for their learning. Direct costs include any essential activities or materials without which the learner could not complete and achieve their learning.

22. If a fully funded learner needs a Disclosure and Barring Service check to participate in learning, you cannot charge them for this. If the learning is associated with the learner’s employment, their employer is responsible for carrying out and paying for this check.

Qualifying days for funding

23. A learner must be in learning for a minimum number of days between their learning start date and learning planned end date before you can earn funding, including learning support. You can access this information in the Adult Education Budget: funding rates and formula 2019 to 2020.

ESF match funding

24. We will inform you should we plan to utilise devolved AEB funding allocated to you as match for ESF or any other funding that will require potential audit and where the document retention requirements would be above and beyond that ordinarily required.

25. You must not use the AEB payments that we make as match funding for any ESF projects with any co-financing organisation or Managing Authority direct bids without our prior approval in writing.

Section 2 – What we will fund

Legal Entitlements – to be fully funded for Liverpool City Region Learners

26. The AEB supports three legal entitlements to full funding for eligible adult learners. These are set out in the Apprenticeships, Skills and Children’s Learning Act 2009, and enable eligible learners to be fully funded for the following qualifications:

- English and maths, up to and including level 2, for individuals aged 19 and over, who have not previously attained a GCSE grade A* - C or grade 4, or higher;
- First full qualification at level 2 for individuals aged 19 to 23; and/or
First full qualification at level 3 for individuals aged 19 to 23.

27. If an individual meets the legal entitlement eligibility criteria, you must not charge them any course fees.

28. Eligible learners exercising their legal entitlement, must be enrolled on qualifications from the:

- [2019 to 2020 list of qualifications in the level 2 and level 3 legal entitlement](#) and/or
- [2019 to 2020 list of qualifications in the English and maths legal entitlement](#)

**English and maths for those aged 19 or older**

29. We will fully fund individuals, including individuals who are employed, aged 19 or older, who have not previously attained a GCSE grade A* to C or grade 4 or higher, in English and maths, as part of their legal entitlement on the day they start the following qualifications:

- GCSE English language or maths;
- Functional Skills English or maths from Entry to level 2; and/or
- Stepping-stone qualifications (including components, where applicable) in English or maths approved by the Department for Education and ESFA.

30. If a learner wants to ‘retake’ their GCSE English and maths qualification because they did not achieve a grade 4 or higher (C or higher), we will not fund the learner to only resit the exam.

31. You must not enrol individuals on qualifications, which are not necessary for progressing towards a GCSE or Functional Skill level 2.

32. You must not fund an apprentice for English or maths from the AEB.

33. We will fully fund non-regulated English and maths learning for learners, including those assessed at pre-entry level, aged 19 years and over with significant learning difficulties or disabilities as part of a personalised learning programme, where assessment has identified the learner cannot undertake GCSE English language or maths, Functional Skills English or maths from Entry to level 2 or Stepping-stone qualifications (including components, where applicable) in English or maths approved by the Department for Education.

34. You must:

- Carry out a thorough initial assessment to determine an individual’s current level using current assessment tools based on the national literacy and numeracy standards and core curriculums;
- Carry out an appropriate diagnostic assessment to inform and structure a learner’s Learner file to use as a basis for a programme of study;
- Enrol the learner on a level above that at which they were assessed and be able to provide evidence of this;
- Deliver ongoing assessment to support learning; and
• Record the evidence of all assessment outcomes in the Learner file.

35. The assessments must place a learner’s current skills levels within the level descriptors used for the Regulated Qualifications Framework (RQF).

**Full level 2**

36. Level 2 is the level of attainment which, is demonstrated by:

   • A General Certificate of Secondary Education in five subjects, each at grade C or above, or grade 4 or above; or
   • Technical Certificate at level 2 which meets the requirements for the 2018, 2019/2020 16 to 19 performance tables.
   • Certain Technical Certificates in the 2017 16 to 19 performance tables.

37. If a learner, aged 19 to 23 has achieved a level 2 qualification that was, at the time they started, or still is, classed as a full level 2, any subsequent level 2 qualifications will be co-funded. Please refer to https://www.gov.uk/government/publications/qualifications-getting-approval-for-funding if you need to access information on previous funding years entitlement fully funded qualifications or on a previous qualification’s designation.

38. If the National Academic Recognition Information Centre have confirmed the authenticity of a qualification gained overseas and confirmed it is comparable/compatible with a regulated qualification in England, currently part of the level 2 and level 3 legal entitlement, the individual will be deemed to have achieved their first level 2 and/or level 3 qualification.

**Full level 3**

39. Level 3 is the level of attainment which is demonstrated by for example:

   • General Certificate of Education at the advanced level in two subjects;
   • General Certificate of Education at the AS level in four subjects;
   • QAA Access to Higher Education (HE) Diploma at level 3; and
   • Tech level; or applied general qualification at level 3.
   • Certain Technical level; or applied general qualification in the 2017 16 to 19 performance tables.

40. If a learner aged 19 to 23 has achieved a level 3 qualification, that was, at the time they started, or still is, classed as a full level 3, and wants to enrol on any subsequent level 3 qualification, of any size, they may apply for an Advanced Learner Loan (provided the qualification is designated for funding, and subject to learner eligibility conditions), or pay for their own learning. Please refer to https://www.gov.uk/government/publications/qualifications-getting-approval-for-funding if you need to access information on previous funding year’s entitlement fully funded qualifications or on a previous qualification’s designation.

41. For linear AS and A levels where a learner enrolls on an AS qualification and continues with further study to take the A level qualification in the same subject,
you must record both the AS and A level in the ILR. The AS learning aim will be funded separately to the A level learning aim.

**Eligibility of learning for funding including qualifications**

42. Where you deliver regulated qualifications and/or their components, you must ensure they are eligible for AEB funding and available on the Hub unless agreed in writing by exception with the Combined Authority.

43. You must make sure that learning is eligible for funding before the learner starts. The Learning Aims Reference Service and The Hub contain details of eligible regulated qualifications, qualification components and non-regulated learning aims OR programmes of learning agreed with the Combined Authority that have then been entered on the Learning Aims Reference Service.

44. Certain qualifications that meet statutory employer requirements or a licence to practise may be eligible for unemployed learners that meet the eligibility criteria described earlier in these funding rules. You can find more information about these qualifications in the Qualification Eligibility Principles document on GOV.UK.

45. We will make available further information on qualifications that are eligible for 2019/2020 early in the academic year, via the usual national publications https://www.gov.uk/government/publications/qualifications-getting-approval-for-funding and consult locally regarding new qualifications we may choose to develop and publish through the Learning Aims Reference Service.

46. Before delivering a component, you must check with the awarding organisation they provide a learner registration facility and the learner can achieve it alone or as part of accumulating achievement towards a qualification.

47. You must not claim funding where a learner only sits or resits a learning aim assessment or examination and no extra learning takes place unless otherwise agreed as part of a test and learn pilot with the Combined Authority.

48. You must not claim funding for any provision you deliver to a learner whose learning is taking place outside England or to non-Liverpool City Region residents unless otherwise agreed in writing by the Combined Authority.

49. 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.

50. You must not enrol individuals on learning aims or programmes eligible for AEB funding at the same time as any new apprenticeship they start, funded from an employer’s digital account or government-employer co-investment.

51. 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 about the Learner Records Service on GOV.UK.
Non-regulated learning and RARPA approaches

52. Where you deliver non-regulated learning you must ensure it is eligible for funding. Such learning could include:

- Test and Learn Pilots (Lot 2) for Liverpool City Region residents;
- Independent living skills or engagement learning supporting adults to operate confidently and effectively in life and work;
- Locally-commissioned and/or locally-developed basic knowledge and skills needed to access technical qualifications;
- Employability and labour market re-entry;
- Locally-commissioned and/or locally-devised technical education short courses (also known as taster sessions); and
- Community learning courses.

53. The eligibility principles we apply to non-regulated learning are as follows:

- It must not be provision linked to UK visa requirements;
- It must not be provision linked to statutory employer requirements (including a licence to practise) unless there is an agreed concession in place;
- It must not be vendor-specific provision, linked to a particular employer or commercial system;
- It must not be learning, for example, ‘induction to college’, that should be part of a learner’s experience;
- It must not be a non-regulated version of a regulated qualification;
- It must not be above notional level 2 (that is, at notional levels 3 or 4); and
- At notional level 2 it must focus on technical provision.

54. Where you are delivering non-regulated learning you must ensure you have appropriate and robust quality assurance processes in place. For instance ‘The Recognising and Recording Progress and Achievement (RARPA) Cycle’. Further information on RARPA is available from the Learning and Work Institute.

Subcontracted Learning

55. Subcontracted learning has an important role to play in the delivery of the AEB. Subcontractors can help widen participation amongst niche groups that would otherwise be hard to reach. Subcontracting also provides an entry point to funding for smaller Voluntary and Community Sector and niche Providers, where they may not otherwise be able to meet the minimum contract values.

56. We define a delivery Subcontractor as a separate legal entity that has an agreement with you to deliver any element of the education and training we fund. A separate legal entity includes companies in your group, other associated companies and sole traders. It also includes individuals who are self-employed or supplied by an employment agency, unless those individuals are working under your direction and control, in the same way as your own employees.

You and your subcontractors must follow the Liverpool City Region Combined Authority Branding Requirements and provide evidence as specified Annex F.
Further rules are set out in Annex A for those Providers wishing to subcontract AEB for Liverpool City Region residents and other support funded by the Combined Authority AEB.

Learning in the workplace

57. We will fund learning in the workplace where a learner has a statutory entitlement to full funding for:
   - English and/or maths up to and including level 2;
   - A first full level 2; and/or
   - A first full level 3 qualification (aged 19-23).

Test and Learn Pilot Approaches - Local Freedoms and Flexibility

58. Delivering the City Region’s skills and economic ambition will take time and the changes to the AEB funded skills system will be evolutionary. However, there is scope from academic year 2019/2020 to use AEB differently and more flexibly for some key groups and/or specific skills needs within the economy.

59. Changes and innovation will be piloted, tested and evaluated before adoption on a wider basis. This process will also allow further data gathering and analysis from fully funded test and learn pilot provision to ensure an evidence based approach to change.

60. Flexibilities and test and learn pilots, are intended to help Providers develop different delivery methodologies that can be mainstreamed in the longer term dependent upon successful outcomes being realised that go beyond the delivery of qualifications for residents with a stronger emphasis on progression to further learning or employment.

61. Test and Learn pilot description for 2019/2020 are as detailed in Annex C.

62. In future academic years the Combined Authority will test further areas of innovation and embed earlier piloted delivery and reporting mechanisms within the AEB funding and performance management rules.

63. You must deliver non-formula funded provision up to the maximum amount within your agreed Test and Learn (Lot 2) pilot allocation.

Flexible tailored provision for adults – ‘local flexibility’

64. The AEB also supports delivery of flexible tailored provision for adults in Liverpool City Region, including qualifications and components of these and/or non-regulated learning, up to level 2 – we call this ‘local flexibility’.

65. This provision either is fully or co-funded, depending on the learner’s prior attainment and circumstances. Please refer to the ‘level of contribution’ (table 1) and learner eligibility details within the funding rules. Where appropriate for the learner, you can deliver this provision alongside a legal entitlement qualification.
Qualifications categorised as ‘local flexibility’ in the ESFA national funding rules will remain for at least year one of the devolved AEB funding in Liverpool City Region. For learners aged 19 to 23 progressing towards their first full level 2, they must undertake learning at entry and/or level 1 only from ‘local flexibility’. When learners’ progress to their first full level 2 (legal entitlement) they must enrol on a qualification from the relevant legal entitlement list.

Individuals who have already achieved at level 2, or above, who are eligible for funding, must undertake any further level 2 qualifications only from the qualifications termed ‘local flexibility’ (not from legal entitlement) available on Learning Aims Reference Service. This is set out in further detail in in these funding rules for individuals aged 19 to 23, and individuals aged 24 and over.

Learners aged 19 to 23 who progress to their first full level 2, must only enrol on a qualification from the legal entitlement list available on the Hub Learning Aims Reference Service.

Learners aged 19 to 23 and aged 24 and over, who have already achieved at level 2 or above, can undertake learning up to and including level 2 qualifications from the local flexibility offer or qualifications in the level 2 legal entitlement list available on the Hub.

Developing new Learning Aims and funding rates for devolved AEB funding

Where there is a local need for skills that are not currently listed on the Learning Aims Reference Service, the Combined Authority has the opportunity to add new learning aims or adjust funding rates for existing learning aims. The Combined Authority will discuss the potential development of new learning aims with Providers or adjustments to funding rates and the rationale for this with stakeholders and Providers on an individual basis.

English for Speakers of Other Languages (ESOL)

We will fully fund individuals aged 19 and over on the day they start their ESOL learning aim up to and including level 2, where they are unemployed.

We will co-fund all other individuals aged 19 and over on the day they start their ESOL learning aim up to and including level 2. Where learners are employed, the low wage flexibility may apply.

Providers offering ESOL qualifications may need to deliver additional learning to individual learners that incurs additional cost above the qualification rate. You can access information on this in the Adult Education Budget: funding rates and formula on GOV.UK and the subsequent related documents for 2019/2020.
Section 3 – What we will not fund

Learner ineligible at the start of learning

74. If an individual starts a learning aim or programme and is not eligible for funding, we will not fund their learning while they remain ineligible.

Employer specific learning

75. We will not fund any learning aim delivered at an employee’s workplace, and is either relevant to their job or their employer’s business, unless:

- It is statutory entitlement learning stated elsewhere in this funding rules;
- We have confirmed a concession that responds to a significant economic impact for a specific industry or Liverpool City Region based employer (in writing to the Provider) and where this investment would not contravene state aid funding;
- Work placement or work experience, unless it is delivered as part of a Sector-based work academy outcome or the Prince’s Trust programme;
- Agreed as part of the Test and Learn Pilot; and/or
- This has otherwise been agreed in writing with the Combined Authority.

Offender learning

76. You must not use your AEB allocation to deliver provision to learners in custody. The Ministry of Justice funds prison education in England. Please note you can use your AEB to fund individuals who are ordinarily resident in Liverpool City Region released on temporary licence, who are studying outside a prison environment, and not funded by the Ministry of Justice.

GCSE Exam retakes

77. If a learner wants to ‘retake’ their GCSE English and maths qualification because they did not achieve a grade 4 or higher (C or higher), we will not fund the learner to only resit the exam.

78. We will not fund a learner to repeat the same regulated qualification where they have previously achieved it unless it is for any GCSE where the learner has not achieved grade C, or 4, or higher.

Learners funded from other funders

79. You must not fund an apprentice for English or maths from the AEB.

80. We will not fund learners whose Education, Health and Care (EHC) plan is extended by the local authority beyond their 25th birthday. The local authority must continue to provide top-up funding and contract directly with the institution.

81. We will not fund learners who would otherwise be eligible for funding for 24+ Level 3 advanced learner loans via the student loan company.
Recognition of prior learning

82. 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:

- Reduce the funding amount claimed for the learning aim by the percentage of learning and assessment the learner does not need;
- Follow the policies and procedures set by the awarding organisation for delivery and assessment of the qualification; and
- Not claim funding if the prior learning meets the full requirements of the awarding organisation to achieve the learning aim.

83. We do not set limits on the length of time of either prior learning or previously certificated learning. However, where the individual’s learning and/or achievement occurs outside of five years, you must assess whether the learning is still valid and relevant.

84. You must not use prior learning to reduce funding for English and maths qualifications up to and including level 2.

85. If a learner enrols on an advanced subsidiary (AS) level qualification followed by an A level, you must reduce the funding claimed for the A level to take account of the prior study of the AS level and record this in the ‘Funding adjustment for prior learning’ field in the ILR. You can access ILR information on GOV.UK.

Breaks in learning

86. The Combined Authority will not fund a learner whilst on a break on learning.

87. You and the learner can agree to suspend learning while the learner takes a break from learning. This allows the learner to continue at a later date with the same eligibility that applied when they first started their learning.

88. You must have evidence that the learner agrees to return and continue with the same learning aim; otherwise, you must report the learner as withdrawn.

89. You must not use a break in learning for short-term absences, such as holidays or short-term illness.

90. Breaks in learning should be a for a reasonable length of time in relation to the duration and number of learning aims a learner is registered for and should be regularly reviewed by Providers.
Section 4 – Who we will fund

Eligibility for Funding Contributions Definitions

Learner residency

91. You must check the eligibility of the learner and their residency ensuring they reside within the local authority areas of Halton, Knowsley, Liverpool, Sefton, St Helens and Wirral at the start of each learning aim and only claim funding for eligible learners unless otherwise agreed in writing with the Combined Authority. Learner postcodes can be checked for eligibility at https://www.gov.uk/find-local-council.

92. Eligibility for learners regarding their nationality and citizenship can be found in Annex B.

Learners in receipt of low wage – continuation of national fully funded pilot

93. You may fully fund learners, who are employed / self-employed and would normally be co-funded. You must be satisfied the learner meets both of the following:
   - Is eligible for co-funding; and
   - Earns less than £17,550 annual gross salary. The Combined Authority has increased this threshold salary level to the Real Living Wage or the equivalent of £17,550 per annum (as detailed here) enabling a greater proportion of learners to access fully funded skills provision.

94. You must have seen evidence of the learner’s gross annual wages in these circumstances. This could be a wage slip within 3 months of the learner’s learning start date, or a current employment contract, which states gross monthly/annual wages. Please note this is not an exhaustive list, but must support your decision to award full funding to an individual who would normally be eligible for co-funding. You must record what evidence you have seen and both you and the learner must sign and date the document. This must be held in the learner file for audit purposes.

95. You must use the appropriate LDM and FFI codes as detailed in Annex J to claim full funding for learners who meet the requirements set out above.

Unemployed People

96. For funding purposes, we define a learner as unemployed if one or more of the following apply:
   - They receive Jobseeker’s Allowance (JSA), including those receiving National Insurance credits only;
   - They receive Employment and Support Allowance (ESA)
   - They receive Universal Credit, and their earned income from employment (disregarding benefits) is less than £338 a month (learner is sole adult in their...
benefit claim) or £541 a month (learner has a joint benefit claim with their partner)

- Providers may also use their discretion to fully fund other learners if both of the following apply. The learner:
  - Receives other state benefits (not listed in paragraph 96) and their earned income (disregarding benefits) is less than £338 a month (learner is sole adult in their benefit claim) or £541 a month (learner has a joint benefit claim with their partner) and
  - Wants to be employed or progress into more sustainable employment, they earn either less than 16 times the appropriate age-related rate of the national minimum wage / national living wage a week or £338 a month (individual claims) or £541 a month (household claims) and you are satisfied the learning is directly relevant to their employment prospects and the local labour market needs.

You must record in the learner file what appropriate documentation you have seen and both you and the learner must sign and date the document, rather than take photocopies. This must be held in the learner file for audit purposes.

Individuals aged 19 to 23 (excluding English, maths and ESOL)

97. We will fully fund 19 to 23 year olds, including individuals who are employed on the day they start the following learning:

- Qualifications defined within the legal entitlement that are a learner’s first full level 2, and/or first full level 3; or
- Local flexibility provision: up to and including level 1 to support progression to a first full level 2, and/or level 2 for those who already have a full level 2 if they are unemployed.

98. We will co-fund provision up to, and including, a level 2 for learners who have already achieved a full level 2, or above, who are employed. The low wage flexibility may apply, refer to earlier references to this flexibility.

Individuals aged 24 or older (excluding English, maths and ESOL)

99. Liverpool City Region has a high proportion of older residents (many aged 50+) with low level or no qualifications. We will fully fund individuals aged 24 or older on the day they start provision up to, and including, a level 2, if they are unemployed.

100. We will co-fund all other Learners aged 24 years and older for provision up to, and including, a level 2. Where Learners are employed, the low wage flexibility may apply.

Learners with learning difficulties or disabilities

101. We will fund learners with learning difficulties or disabilities as set out in the Apprenticeships, Skills, and Children and Learning Act 2009, section 111.
102. The Secretary of State has devolved to the Combined Authority the responsibility for securing the provision of reasonable facilities for education and training suitable to the requirements of persons who are 19 and over. This includes Learners with an identified learning difficulty or disability who have previously had an Education, Health and Care Plan (EHC) plan and have reached the age of 25.

Learners with an Education, Health and Care (EHC) Plan

103. To access provision and support costs you must inform us before the start of the 2019/2020 funding year where a learner:
   - Has reached the age of 25 and has not completed their programme of learning as set out in their EHC plan by the end of the previous funding year; or
   - Will reach the age of 25 in the funding year, where their EHC plan is not extended by their local authority to allow them to complete their programme of learning. The learner must:
     - Have an EHC plan that confirms their needs could only be met by the training organisation they are, or were, attending
     - Continue to make progress on the programme of learning as set out in their EHC plan.

104. If a learner has an EHC plan, you must report this in the ‘learner funding and monitoring’ fields in the ILR.

105. We will not fund learners whose EHC plan is extended by the local authority beyond their 25th birthday. The local authority must continue to provide top-up funding and contract directly with the institution.
## AEB Eligibility for Funding Contributions (Table 1)

The level of AEB contribution we will fund is as follows:

<table>
<thead>
<tr>
<th>Provision</th>
<th>19-23 year olds</th>
<th>24+ year olds – unemployed</th>
<th>24+ year olds – other</th>
</tr>
</thead>
<tbody>
<tr>
<td>English and maths, up to and including level 2 (must be delivered as part of the legal entitlement)</td>
<td>Fully funded(^{(1)})</td>
<td>Fully funded(^{(1)})</td>
<td>Fully funded(^{(1)})</td>
</tr>
<tr>
<td>Level 2 (excluding English and maths. First full level 2 must be delivered as part of the legal entitlement)</td>
<td>Fully funded(^{(1)}) (first and full)</td>
<td>Fully funded</td>
<td>Co-funded Fully funded if earns less than £17,550 annual gross salary.</td>
</tr>
<tr>
<td>Learning to progress to level 2</td>
<td>Fully funded(^{(2)}) (up to and including level 1)</td>
<td>Fully funded</td>
<td>Co-funded Fully funded if earns less than £17,550 annual gross salary.</td>
</tr>
<tr>
<td>Level 3 (First full level 3 must be delivered as part of the legal entitlement)</td>
<td>Fully funded(^{(1)}) (first and full) Or Loan-funded(^{(3)}) (if previously achieved full level 3 or above)</td>
<td>Loan funded</td>
<td>Loan-funded</td>
</tr>
<tr>
<td>English for Speakers of Other Languages (ESOL) learning up to and including level 2</td>
<td>Co-funded or Fully funded if earns less than £17,550 annual gross salary. Or fully funded if unemployed</td>
<td>Fully funded</td>
<td>Co-funded or Fully funded if earns less than £17,550 annual gross salary.</td>
</tr>
<tr>
<td>Learning aims up to and including level 2, where the learner has already achieved a first full level 2 or above</td>
<td>Co-funded or Fully funded if earns less than £17,550 annual gross salary. Or fully funded if unemployed</td>
<td>Fully funded</td>
<td>Co-funded or Fully funded if earns less than £17,550 annual gross salary.</td>
</tr>
<tr>
<td>Learning aims up to and including level 2, where the learner has not achieved a first full level 2, or above.</td>
<td>N/A</td>
<td>Fully funded</td>
<td>Co-funded or Fully funded if earns less than £17,550 annual gross salary.</td>
</tr>
</tbody>
</table>

\(^{(1)}\) Must be delivered as one of the English and maths, and/or first full level 2 or first full level 3 qualifications required as part of the legal entitlements.  
\(^{(2)}\) Must be delivered as entry or level 1 provision from local flexibility.  
\(^{(3)}\) Availability of loans at level 3 does not replace the legal entitlement to full funding for learners aged 19 to 23 undertaking their first full level 3.
Section 5 - Community Learning Allocations to Grant Funded Providers

106. This section only applies to Providers with a non-formula community learning allocation.

107. The purpose of Community Learning is to develop the skills, confidence, motivation and resilience of adults of different ages and backgrounds in order to:

- Progress towards formal learning or employment; and/or
- Improve their health and well-being, including mental health and/or develop stronger communities.

108. Community learning courses are delivered and reported on the ILR under the following four delivery strands:

- Personal and community development learning - learning for personal and community development, cultural enrichment, intellectual or creative stimulation and for enjoyment (in most cases not leading to a formal qualification);
- Family English, maths and language - learning to improve the English, language and maths skills of parents, carers or guardians and their ability to help their children;
- Wider family learning - learning to help different generations of family members to learn together how to support their children’s learning; and
- Neighbourhood learning in deprived communities - supports local Voluntary and other third sector organisations to develop their capacity to deliver learning opportunities for the residents of disadvantaged neighbourhoods.

109. For community learning funded learning, you will submit ILR data under funding model 10.

110. Providers in receipt of a community learning grant allocation in Liverpool City Region will produce an individual Provider Adult and Community Learning Delivery Plan.

111. The Delivery Plan should be short, concise and wherever possible reference existing documents that naturally occur as part of your community learning curriculum plans and local prioritisation of funding. If the Plan is not considered robust your AEB allocation will be restricted to a formula funded approach until it is agreed with the Combined Authority.

112. The Combined Authority will fund Community Learning provision within your overall allocation as per the agreed Plan.

113. As part of your Plan, we expect you to work with other Providers in your local area, who may be in receipt of non-formula community funding. We expect you to develop a strategic, efficient community learning offer to reduce duplication of courses in a locality, and signpost learners to other partners as and when appropriate, particularly in relation to learner progression.
114. Colleges and Local Authorities with community learning allocations from the Combined Authority will detail within their Plan:

- Evidence and practical application of collaborative curriculum planning for this provision with stakeholders including healthcare partners and Jobcentre Plus;
- Plans to deliver more cohesive and accessible entry routes for learners with low level skills including those who are economically inactive and those with no or low level skills aged 50 and over;
- Evidence and practical application of collaborative curriculum planning for this provision with other local Providers including Local authorities, Colleges and specialist partners and voluntary and community sector (VCS) organisations;
- Added value through links to voluntary and community sector (VCS) and grassroots engagement and referral organisations;
- Links to a diverse range of partners outside of the AEB provision linked to both health and employability; and
- Progression routes between their provision and that of other neighbouring Providers.

115. You must have in place a ‘Social Value’ policy.

116. Local fee remission policy - you must have in place and operate a fair and transparent community learning local fee remission policy that requires individuals to pay a course / tuition / joining fee, but also sets out clear eligibility criteria for those individuals who, due to their circumstances, qualify for either partial or total fee remission.

117. Your Plan, Social Value and Local Fee remission polices must be available on your website and/or in the venues, you deliver community learning to eligible learners.

118. The Combined Authority will discuss ‘co-production and outcome funded pilots’ the potential for ‘Shared Community Learning Outcomes’ by Local Authority area and agreeing curriculum change through collaborative planning as part of area community learning plans through devolved AEB funding in future academic years.

119. You must not use non-formula community learning funding for learning that is eligible for funding through an Advanced Learner Loan.

120. General FE Colleges and Local Authority community learning Providers will work with stakeholders including Jobcentre Plus to collaboratively plan to deliver more cohesive and accessible entry routes for learners with low-level skills and progression pathways into more advanced levels of qualifications and skills.

121. Where applicable, your AEB allocation will include an amount of non-formula community learning funding. We state this value in your Grant Funding Agreement. For Contract for Services Provider in 2019/2020 this will apply should you have Lot 2 (Test and Learn Pilot) allocation. You must deliver non-formula funded provision in line with the community learning objectives set out in Annex D, up to this maximum amount or in line with your agreed Lot 2 (Test and Learn) Pilot scope.
122. Non-formula funding is paid on a monthly profile, see Annex H. You must ‘attribute costs’ for eligible learners, up to the value of your non-formula allocation. This should include the cost of delivering learning and any support costs, in line with learner and learning support, contents of this funding rules document. You must record these costs in the learner’s learning plan.

123. If we fund you through a grant funding agreement, you have the flexibility to use all, or some, of your non-formula community learning funding in line with the AEB formula-funded methodology to meet local demand. This flexibility does not apply to contract for services funded Providers with a Lot 2 allocation.

124. Grant funded Providers may use non-formula community learning funding to deliver non-regulated provision that may be similar to community learning. If you do, you must:

   • Follow the AEB formula-funded methodology and submit ILR data under fund model 35;
   • Enrol learners following the AEB eligibility requirements set out elsewhere in these funding rules; you must not use your community learning local fee remission policy.

125. If we fund your organisation through a contract for services, you do not have this flexibility, and we will reclaim unspent non-formula Lot 2 funding allocations at the end of the pilot period.

126. You must not use non-formula community learning or Lot 2 funding for learning that is eligible for funding through an Advanced Learner Loan.

Section 6 – Evidence of Learning required

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

128. In line with General Data Protection Regulations (GDPR) you must record in the learner file what appropriate documentation you have seen, rather than take photocopies to prove eligibility.

Learner file

129. The learner file must contain evidence to support the funding claimed and must be available to us if we need it.

130. Evidence in the learner file must assure us that the learner exists.

131. The learner must confirm information they provide is correct when it is collected.

132. If the time spent in learning is short, the level of evidence in the learner file would reflect this.

133. Where you hold information centrally, you only need to refer to the source.
134. If applicable, the learner file must confirm the following:

- All information reported to us in the ILR and the Liverpool City Region Earnings Adjustment Statement (EAS), and if it applies, the supporting evidence for the data you report;
- Your assessment and evidence of eligibility for funding and a record of what evidence the learner has provided;
- All initial, basic skills and diagnostic assessments;
- Information on prior learning that affects the learning or the funding of any of the learning aims or programme;
- 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;
- A description of how you will deliver the learning and skills and how the learner will achieve;
- 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;
- Support needs identified, including how you will meet these needs and the evidence of that;
- That learning is taking or has taken place and records are available;
- Evidence of any work experience placement and hours on placement;
- A learner’s self-declarations as to what state benefit they claim;
- A learner’s self-declarations on their status relating to gaining a job; and
- All records and evidence of achievement of learning aims. This must be available within three months of you reporting it in the ILR.
- In addition note the specific evidence requirements for SBWA Outcomes Claims detailed in Section 10.

135. 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.

136. If a Subcontractor delivers any provision to the learner, it must clearly identify who it is. This must match the information reported to us in the ILR.

**Confirmation and signatures**

137. 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.

138. 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.

139. 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

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

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

142. Where the learning is certificated, you must follow your awarding organisation’s procedure for claiming the relevant certificate(s) and ensure the learner receives them. You must evidence this has happened in the learner file.

143. For your direct delivery, and any subcontracted delivery, where relevant, your subcontractor(s) must have direct centre approval and where appropriate, direct qualification approval from the respective awarding organisation for the regulated qualifications you are offering.

144. Delivery of the qualification (including learner registration with the awarding organisation) for direct delivery and any subcontracted delivery must be in line with the qualification specification and guidance set out by the relevant awarding organisation.

Leaving learning

145. You must report the learning actual end date in the ILR for a learner who leaves learning as the last day that you can evidence they took part in learning.

Individualised Learner Record

146. You must accurately complete all ILR fields as required in the Individual Learner Record link even if they are not required for funding purposes. A 2019/2020 ILR specification will be made available. Please source and use this iteration of this document for 2019/2020.

147. The ILR must accurately reflect the learning and support (where applicable) you have identified, planned and delivered to eligible individuals. You must not report inaccurate information that would result in an inflated claim for funding.

148. Where your data does not support the funding you have claimed, we will take action to get this corrected and could recover funds you have claimed.

Self-declarations by learners

149. All self-declarations must confirm the Learner’s details and describe what the Learner is confirming for requirements set out in this document.

150. If a Learner self-declares prior attainment, you must check this in the personal learning record (PLR) and query any contradictory information with the Learner. The PLR will not necessarily override the Learner’s self-declaration.
Section 7 - Narrowing of the gap of under-represented learners – Equality and Diversity Impact Measures

151. The Skills Strategy sets out how the Combined Authority will deliver inclusive growth: [http://www.lcrskillsforgrowth.org.uk/our-work/skills-for-growth](http://www.lcrskillsforgrowth.org.uk/our-work/skills-for-growth)

152. Equality and Diversity Impact Measures are a key part of measuring how Providers are individually and collectively helping to narrow the gaps for under-represented learners through skills provision.

153. Colleges, Local Authorities and Providers are required to support the Combined Authority to deliver inclusive growth through targeting of activity to narrow the gaps in skills and employment outcomes through the setting of Equality and Diversity Impact Measures detailed in their Self-Assessment Reports.

154. Underrepresented groups and disadvantaged learner’s imbalances in learner cohort performance will be monitored by you as part of Equality and Diversity Impact Measures detailed within Self-Assessment Reports. You are required to record and monitor core Equality and Diversity Impact Measures including participation and achievement of:

- Learners aged 50 and over with low skills;
- Black and minority ethnic learners;
- Learners with learning difficulties and/or disabilities;
- Underrepresented learners by gender specific to your provision; and
- Former Armed Forces staff (all ages not just those in receipt of pension).

155. Annex E sets out more details on Equality and Diversity Impact Measures. The Combined Authority encourages Providers to continue to measure their own additional Equality and Diversity Impact Measures that you have measured longitudinally over a number of years.

Section 8 - Prince’s Trust Team Programme

156. The Prince’s Trust Team Programme is a 12-week course designed to improve confidence, motivation and skills for eligible 16- to 25-year-olds. Each ‘team’ recruits a mix of 16- to 25-year-olds of different abilities and backgrounds, including employees sponsored by their employer. We fund the Team Programme for those aged 19+. Providers in partnership with the Prince’s Trust run and manage it on a local basis.

157. In order to deliver the team programme, you must get approval from the [Princes Trust](http://www.princes.org.uk).

158. For eligible learners aged 19 to 25, we fund the team programme through the [AEB funding methodology](http://www.gov.uk/government/publications/adult-education-budget-funding-rates-and-formula). Please also refer to the Princes Trust section in the [Adult education budget: funding rates and formula](http://www.gov.uk/government/publications/adult-education-budget-funding-rates-and-formula) document.
159. For eligible learners aged 16 to 19, the team programme is funded through the ESFA’s young people’s funding methodology and cannot be funded through your AEB allocation.

Section 9 – Learner and learning support funding

160. The AEB’s over-arching aim is to support as many eligible adult learners as possible to access learning. Some learners will need additional support to start or stay in learning.

161. Where you identify that a learner has a learning difficulty or disability, or a financial barrier, your AEB allocation enables you to claim learning support and/or learner support funding to meet the additional needs of learners.

Learning support and Exceptional learning support

162. Learning support is available to meet the cost of putting in place a reasonable adjustment, as set out in the Equality Act 2010, for learners who have an identified learning difficulty or disability, to achieve their learning goal.

163. Learning support must not be used to deal with everyday difficulties that are not directly associated with a learner’s learning on their programme.

164. You must:

- Carry out a thorough assessment to identify the support the learner needs;
- Agree and record the outcome of your assessment in the learner file;
- Record all outcomes on the learner file and keep all evidence of the assessment of the needs, planned and actual delivery; and
- Report in the ILR that a learner has a learning support need associated with an identified learning aim, by entering code LSF1 in the ‘Learning Delivery Funding and Monitoring’ field and entering the corresponding dates in the ‘Date applies from’ and ‘Date applies to’ fields.

165. You can claim learning support at a fixed monthly rate if you report it in the ILR. You must use the EAS if your costs exceed this monthly rate and you must keep evidence of these costs.

166. You can claim learning support if learning continues past the planned end date and the learner needs continued support.

Exceptional learning support claims above £19,000

167. If a learner needs significant levels of support to start or continue learning and has support costs of more than £19,000 in a funding year, you can claim exceptional learning support (ELS).

168. Learners aged 19 to 24 who require significant levels of support should have an EHC plan provided by their local authority and, therefore, would access funding from their local authority rather than the Combined Authority.
169. You must submit ELS claims at the beginning of the learner’s programme, or when you identify the learner requires support costs more than £19,000 in a funding year, by completing and submitting an ELS claim form to aeb@liverpoolcityregion-ca.gov.uk copying in your Relationship Manager.

170. To claim exceptional learning support for a learner aged 19 to 24 you must confirm why the individual does not have an EHC plan. This should be a letter or email from the learner’s local authority stating the reasons(s) why the individual does not need an EHC plan.

Learner support and narrowing the gaps in participation, retention and achievement

171. Learner support is available to provide financial support for learners with a specific financial hardship preventing them from taking part / continuing in learning. Before you award support to a learner, you must identify their needs within the following ‘categories’:

- Hardship funding – general financial support for vulnerable and financially disadvantaged learners.
- 20+ Childcare funding – for learners aged 20 or older on the first day of learning who are at risk of not starting or continuing learning because of childcare costs.
- Residential Access funding – to support learners where they need to live away from home.

172. You must not claim more than 5% of your total Learner Support final claim as administration expenditure. You must document your process for managing your administration costs over the current funding year and record, report and retain evidence on spending for each of the categories.

173. You must:

- Have criteria for how you will administer and distribute your funds; these must reflect the principles of equality and diversity and be available to learners and to us on request;
- Assess and record the learner’s needs, demonstrating the need for support;
- Report the appropriate Learner Support Reason codes in the ‘Learner Funding and Monitoring’ fields in the ILR;
- Complete a mid-year funding forecast and a final claim (submitting funding claims for grant paid Providers) for 2019/2020;
- Take into account the availability of other support for learners, for example from Jobcentre Plus; and
- Make it clear to learners it is their responsibility to tell the Department for Work and Pensions about any learner support they are receiving from you, as learner support payments may affect their eligibility to state benefits.
174. You must not use learner support funds for any of the following:

- Essential equipment or facilities if the learner is eligible to full funding. However, these learners can get support funding for childcare, transport and residential costs;
- A learner in custody or released on temporary licence;
- A learner carrying out a higher education course or learning aims fully funded from other sources; and
- To pay weekly attendance allowances or achievement and attendance bonuses.

**Use of Learner Support - Hardship**

175. You can use hardship learner support funds for the following:

- Course-related costs, including course trips, books and equipment (where costs are not included in the funding rate), domestic emergencies and emergency accommodation;
- Transport costs (but not make a block contribution to post-16 transport partnerships or routinely fund transport costs covered in the local authority’s legal duty for learners of sixth-form age);
- Examination fees;
- Accreditation fees, professional membership fees and any fees or charges due to external bodies;
- Your registration fees;
- Support provided by others, or by providing items, services or cash direct to the learner. This can be a grant or a repayable loan; and
- To support learners on work placements in relation to a sector-based work academy.

176. In exceptional circumstances, you can use hardship funds with course fees for learners who need financial support to start or stay in learning.

177. If an asylum seeker is eligible for provision, you may provide learner support in the form of course-related books, equipment or a travel pass. You must not give a learner who is an asylum seeker support in the form of cash.

**Use of Learner Support - 20+ childcare**

178. You can only use childcare funding to pay for childcare with a childminder, Provider or childminder agency, registered with Ofsted.

179. You must not use childcare funding to:

- Fund informal childcare, such as that provided by a relative;
- Set up childcare places or to make a financial contribution to the costs of a crèche; and
- Fund childcare for learners aged under 20 on the first day of learning; instead you must direct them to the [ESFA’s ‘Care to Learn’ programme](https://www.gov.uk/care-to-learn).
180. You must not use childcare for those aged 20 years or older to top up childcare payments for those receiving ‘Care to Learn’ payments.

**Use of Learner Support - residential access funding**

181. You must:

- Set out the criteria and procedures for considering and agreeing applications for support from your residential access funds; and
- Give priority to learners who need accommodation and only pay for travel costs in exceptional circumstances.

**Section 10 - Job outcome payments and work experience outcome payments for learners undertaking Sector-based work academies (SBWA)**

182. For fully funded learners who are unemployed, we will pay 50% of the achievement payment as a ‘job outcome compensation payment’ if they start a job before achieving the learning aim. If the learner then achieves the learning aim, we will pay the remaining achievement payment. The following conditions apply:

- You must gain 3rd party evidence from the employer and/or Jobcentre Plus (DWP) which is authenticated that confirms the learner has secured a job for at least 16 hours or more a week for four consecutive weeks.

**Sector-based work academies and work preparation skills**

183. The Combined Authority is testing outcome payments linked to work experience and job outcomes resulting from Sector-based work academies in 2019/2020. This is as a result of the market engagement exercise undertaken by the Combined Authority where it was widely agreed that placements and job outcomes would be suitable activities that could attract outcome payments. The testing of this approach through the Sector-based work academy model provides a robust and clearly defined process to assess and evaluate the success and impact to help inform future AEB payment options.

184. A Sector-based work academy can last up to 6 weeks and has 3 main components:

- Pre-employment training that is relevant to the needs of the business and sector;
- Work experience placement, of benefit to both the individual and business; and
- A guaranteed job interview linked to the employer vacancy.

185. Sector-based work academy vocational related learning will be earned from Providers allocation and evidenced / claimed through the ILR.

186. The Combined Authority will also allow Providers to earn Sector-based work academy related work experience and job outcome payments (from their
allocation). These outcome payments will be claimed through an EAS rather than the ILR with prior agreement by the Combined Authority as part of a Sector-based work academy the following payments may be claimed:

- £500 will be paid for completion of a period of work experience; and
- a further £500 will be paid for a successful job outcome resulting from a guaranteed interview. Job outcome payments may be agreed by the Combined Authority without a work experience claim, this is at the discretion of the Combined Authority.

The work experience and/or job outcome data is to be submitted within 13 weeks of the learning end date to be eligible for payment.


Sector-based work academies for Liverpool City Region Residents – outcome payment pilots

188. The Combined Authority are keen to ensure inclusive growth, providing access to work experience and job outcomes for unemployed and economically inactive residents.

189. To support these aims we will support outcome payment pilots over and above the achievement of learning as part of Sector-based work academies agreed by employers, Jobcentre Plus/DWP and the Combined Authority as the funder.

190. Sector-based work academies can be supported with devolved AEB funding within the following parameters:

191. You must plan to deliver the pre-employment training and a work experience placement, aligned to a guaranteed job interview with a named employer. Jobcentre Plus / DWP will confirm all SBWA programme details via production of their Launch Documentation, this will form the written agreement.

192. If pre-employment training leads to a qualification, you must offer the qualification from an Ofqual-regulated awarding organisation.

193. Pre-employment training must focus on activities that will help progression to an apprenticeship and/or sustainable employment. Addressing the employability needs of the learner could include writing CVs, preparing for interviews, searching for jobs and developing interpersonal and communication skills.

194. Learning aims for a Sector-based work academy will not attract additional funding as they are fully funded for all unemployed learners.

195. If a learner returns to the programme within the same academic year, written approval will need to be sought to claim for the learner multiple times.

196. A Sector-based work academy must be recognised by, Jobcentre Plus / DWP and/the Combined Authority to be eligible for outcome payments from a
Provider’s existing allocation. Outcome payments can only be claimed where a Provider has sufficient funding within their remaining allocation in 2019/2020

**Sector-based work academy pre-employment training**

197. Sector-based work academy training can be fully funded through the devolved AEB funding available for all unemployed learners for units on the Qualifications and Credit Framework (QCF) in line with the general funding and AEB eligibility rules set out in this document.

198. You can offer activities, including appropriate technical qualifications and skills required by the local labour market that will help the learner move into work or remove a barrier to them entering work.

199. You must assess all learners for English and maths as part of a Sector-based work academy programme.

200. As appropriate, support learners to progress to a GCSE grade A* to C, grade 4 or higher, or level 2 Functional Skills. You may use English and maths steppingstone qualifications (including components, where applicable).

201. You can continue to fund a learner to complete their English and maths qualifications beyond completion of their pre-employment training and work experience placement and into employment where applicable.

202. You must support learners to achieve English for speakers of other languages (ESOL) qualifications, where necessary.

**Sector-based work academy work experience placement outcome payment (this is a mandatory element within the sector-based work academy structure).**

203. A work experience placement in a business will enable participants to develop their skills and have the opportunity to work in a realistic environment. Jobcentre Plus / DWP will agree the work experience element with the employer, this may include a placement or another form of employer engagement experience, determined by the employer. Any agreed outcome payment is entirely at the discretion of the Combined Authority.

204. The main principle to supporting participants during the placement should be to treat them as regular employees as far as possible whilst they remain on benefits, but also recognising that they may initially need additional coaching and supervision from the business, their Jobcentre Plus Work Coach and the training Provider.

205. Preparing for the work experience placement will ensure that the business and the participant will get the most from this experience. In order for both businesses and individuals to benefit from the work placement element, the following areas should be covered by the Provider:

- Explain what learners need to do on their work experience placement;
• Inform them of management and reporting arrangements whilst on placement;
• Provide an overview of the business, its values and culture for induction purposes;
• Provide guidance on using any equipment and on health and safety;
• Explain standard workplace practices such as security procedures, dress code, sick leave and absences and break times; and
• Confirm times and days agreed for the learner to undertake the work experience placement.

206. Providers can claim £500 for completion of a work experience placement claimed through the Liverpool City Region EAS where the Provider is in receipt of 3rd party evidence from Jobcentre Plus/DWP of a positive placement which has been recognised by Jobcentre Plus/DWP and the Combined Authority prior to the start of the programme. This is in addition to any funding delivered through associated learning and payments for achievement.

207. Work experience placements will be defined by the employer and agreed with Jobcentre Plus / DWP, this information will be sent to the Combined Authority via the Launch Document, prior to starting the sector-based work academy. This element will be reviewed by the Combined Authority as this may or may not be assessed as eligible for an outcomes payment.

208. If the learner starts a job before completion of their agreed work experience placement and therefore leaves the programme, you will not be eligible for the work experience or job outcome payment.

**Sector-based work academy guaranteed job interview and job outcome payment**

209. A guaranteed job interview is a fundamental expectation of the programme to be agreed with the employer at the outset of the programme. This will provide participants with valuable interview experience.

210. Providers can claim £500 for a successful job outcome claimed through the Liverpool City Region EAS where the Provider is in receipt of evidence from the employer and/or Jobcentre Plus / DWP of a positive job outcome as a result of a Sector-based work academy (which has been recognised by Jobcentre Plus / DWP and the Combined Authority prior to commencement). You must not claim job outcome compensation payments described elsewhere within the funding rules as part of a Sector-based work academy programme. This is in addition to any funding delivered through associated learning and payments for achievement.

**Sector-based work academy duration**

211. The Sector-based work academy pre-employment training and work experience placement can last up to 6 weeks.

212. All elements of the programme (including work experience placement) are subject to a maximum of 35 hours activity each week to meet the requirements of state benefit rules.
Sector-based work academy learner support

213. Learning support for Sector-based work academies is available as set out in the funding rules for other devolved AEB provision. For learners requiring Exceptional Learner Support, you must follow these rules and claim learner support using the EAS.

PART 2 - PAYMENTS AND PERFORMANCE MANAGEMENT

This section includes the performance management arrangements for:

- AEB grant funding agreements; and
- AEB contract for services (Providers should have regard to ESFA Oversight of Independent Training Providers Operational Guidance April 2019)
- Providers with an AEB grant funding agreement and contract for service should read both sections.

Section 11 - Generic rules that apply to all delivery and contract types

214. This section sets out the principles by which we will manage your performance in the 2019/2020 funding year.

215. For the purposes of this section, we use the term ‘contract value’ to mean your funding allocation or contract value as set out in your grant funding agreement or contract for services.

216. We will apply different performance management processes according to the type of funding agreement/contract we have with you. For example, performance management and reviews of the Lot 2 / Test and Learn Pilots will be different to the other elements contained in your funding agreement or contract. Within these processes, we will apply our principles of performance management consistently to all Providers.

217. We will use our approach to funding to make sure learning provision is of a high quality. We will use your ongoing track record to assess your ability to deliver education and training to the required standard. The Standard will include Ofsted grades, in-year performance, minimum quality standards, financial health, financial management and control, and your previous delivery against your contract, where this information is available.

218. As part of our financial assurance work, we will continue to monitor compliance with the funding rules. We will contact you where we identify you have submitted data that does not meet our funding rules and ILR requirements. We will require you to correct inaccurate ILR and EAS data or to adjust your final funding claim.

219. You must submit your funding claims (via ILR/EAS) for devolved AEB in line with the published ESFA Funding claims process via Submit Learner Data Service (which replaces The Hub). Please refer to Annex I for the Combined Authority’s
proposed claim payment dates. Grant funded will be paid against the standard national profile and Contract for Services will be paid on actuals.

220. We will review the actual spend you submit in your final funding claim against the ILR and EAS data you provide.

221. Should your contract for services / grant agreement be renewed in future academic years, we may increase or reduce your 2020/2021 contract value to a level that is in line with your 2019/2020 outturn (increases are subject to affordability and Providers meeting our track record criteria set out above).

222. You can voluntarily reduce your AEB funding allocation. If you want to do this, please let your Combined Authority Relationship Manager know as soon as you are aware that you may have potential under delivery.

223. Your funding agreement / contract for services will span two financial years:

- August 2019 to March 2020: periods 1 to 8 of the 2019/2020 funding year
- April 2020 to July 2020: periods 9 to 12 of the 2019/2020 funding year

224. You cannot vire between the two financial years without our written permission.

225. You cannot vire funds between the devolved AEB to any other funders programmes.

226. You cannot vire funds between funding agreements to another Provider even where this is within your group.

227. The Combined Authority may increase or decrease the number of performance management points we operate, in line with delivery against the funding available for devolved AEB.

Section 12 - AEB Grant Funding Agreements

228. If your AEB is allocated to you through a Grant Funding Agreement for 2019/2020, we will make payments on the standard national profile as set out in Annex H.

229. Your funding agreement will state the maximum amount of AEB provision you can deliver between 1 August 2019 and 31 July 2020. It will also state the maximum value of non-formula funded community learning we will fund (where applicable to you).

230. If you have an AEB grant funding agreement it can be used to fund new starts in 2019/20 academic year. It will not fund carry-in learners for the 208/19 academic year.

231. If your AEB is allocated to you as a block grant for 2019/2020 you must provide three funding claims setting out your actual delivery to date and, where appropriate, provide a forecast for the remainder of the funding year. The funding
claims must include adult skills, non-formula funded community learning and learner support funding. The funding claims you must provide are set out below:

- The mid-year funding claim – which may be subject to reconciliation;
- The year-end forecast claim; and
- The final funding claim.

232. Any over delivery you undertake is at your own risk.

233. The Combined Authority is currently considering rules related to in year reconciliation of grant funded providers following mid-year estimates. Further guidance will be made available following the grant funding provider’s negotiation process.

**Grant Funding Agreement End of Year Reconciliation**

234. At the end of the 2019 to 2020 funding year, the Combined Authority will apply a 3% reconciliation tolerance for Grant Funded Providers. Where your delivery of the overall AEB is at least 97% of your Liverpool City Region AEB funding allocation for Grant Funded Providers, we will not make a year-end adjustment to your AEB funding allocation and you will not have to pay back any unspent funds. However, we will expect you to set out and submit to the Combined Authority proposals detailing how these unspent funds will be allocated to learning provision that meets the priorities of the Liverpool City Region including priority group learners and will ask for evidence that these funds have been applied as described.

Our calculation of whether you have delivered 97% will be up to the value specified in your grant funding agreement.

If you do not deliver 97% or above, the Combined Authority will confirm the value of funding you must pay back in a grant funding agreement reconciliation statement.

235. AEB Grants Funding Agreements and AEB contract for services remain separate with different payment and performance-management arrangements. You cannot vire funds between the two. Please see section 13 of these rules for the arrangements for your AEB contract for services (where applicable to you).

236. Under the devolved budget arrangements and at the first performance management point following the mid-year funding claim, we will use the information you provide in your funding claims, ILR and EAS data to assess your performance. Accordingly, we reserve the right to review and amend your current block grant funding allocation.
Section 13 - AEB Contract for Services

237. AEB Contract for Services can be used to deliver formula funded adult skills and learner support for new starts.

238. Carry-in learners for 2019/2020 for adult skills, non-formula funded community learning (where applicable to you) and learner support prior to the devolved AEB budget to the Combined Authority are to be funded directly by the ESFA.

239. Your Contract for Services will state the maximum amount of formula funded adult skills provision and learner support you can deliver between 1 August 2019 and 31 July 2020.

240. A separate contract will be issued for any successful Lot 2 Test and Learn Pilot. You cannot vire funding between contracts.

241. You must use the appropriate LDM code as detailed in Annex J (Procured Adult Education Budget AEB) to record Lot 1 delivery under this contract when you submit ILR data. Please refer to the to ILR specification for more information about using LDM codes.

242. For Lot 1 provision, we will pay you on the basis of your actual delivery each month, up to your contract value for the financial year. We will calculate the value of your actual delivery using the latest validated Individual Learner Record (ILR) and EAS data you provide.

243. For Lot 2 provision, please refer to section 16.

244. The learner support component is claimed through the ESFA EAS template and reconciled throughout the year based on the funding claims you provide. We will recover under-delivery.

245. Learner support funding claims can be submitted on a monthly basis via EAS and should set out your actual delivery to date.

246. Any over delivery you undertake is at your own risk.

247. At the performance management points, set out in Annex G, we will use the information you provide in your funding claims, ILR and EAS data to measure your performance against your monthly financial profile and Delivery Plan.

248. At the performance management points, we will reduce your contract value if your performance is outside the tolerance levels. The tolerance levels we will apply at the performance management points are set out in Annex G.

249. The reduction in your contract value will reflect some or all of the value of the under-delivery to date outside of the tolerance. We will not change this approach unless there are exceptional circumstances.
• We will apply the reduction unless you demonstrate you were impacted by data issues outside of your control.

Section 14 - Changes to your AEB delivery plan / allocation

250. The Combined Authority will consider in-year change requests subject to affordability and subject to such requests addressing the skills priorities of the Liverpool City Region.

251. All Providers will be given equal opportunity to request change at the performance management points, subject to the conditions set out in this document. We expect Providers to assess these conditions prior to submitting a change request.

252. If significant new funding becomes available in-year that would make a material difference to individual Provider contract values, we will give all Providers the opportunity to request change. We will do this using a change request process aligned to the needs set out in the Combined Authority Skills Investment Statement. We will notify you in good time if we plan to launch a change request process.

253. At the performance management points set out in Annex G, we will recover funds from underperformance. If, when recovered, the value is significant enough to make a material difference to individual Provider contract values, we may recycle it to Providers with the demonstrable capacity and capability to spend it in full. We will notify you if we intend to do this.

254. New funding and funding recycled from underperformance may be offered to Providers who meet the following criteria:

• If you have evidence of AEB eligible demand for learning that meets local priorities;
• If you have an AEB Grant Funding Agreement and are on or ahead of profile for delivery in year;
• If you have an AEB contract for service and are on or ahead of profile for delivery in year against your Monthly Financial profile at the performance management points;
• You have a good track record of forecasting and delivery. Please note you will be judged on the accuracy of your forecasts for any future change requests;
• You are not under notice for failure of inspection or breach of contract;
• Any Provider under a notice to improve, additional conditions of funding or additional contractual obligations in relation to minimum quality standards for 19+ education and training will be assessed at the discretion of the LCRCA

255. We will calculate the amount of additional funding offered to Providers who meet the criteria using a locally consistent methodology. We will confirm this methodology when we do issue new funds or recycle funds.
256. Failure to deliver against your agreed delivery plan could constitute a breach of contract and may lead to a loss of payment for any variances to delivery.

Section 15 – Skills and Learner priorities

257. Subject to affordability and a change request process being launched, we will publish our priorities and the process for applying for any change.

Section 16 - Test and Learn pilot (Lot 2) payments

258. All Test and Learn pilots should commence within the academic year 2019/20 and be completed by 31 July 2020.

259. There will be 4 payments across the academic year (payment dates agreed in your Measurement Plan prior to 1st August 2019). An initial payment of 40% will be paid of your Test & Learn (Lot 2) allocation, followed by 2 payments of 25%. A final 10% payment will be made following your submission of an evaluation report.

260. You will be required to monitor and report on outcomes when requested by the Combined Authority.

261. The Combined Authority reserves the right to recover unspent funding allocations following an end of year review, evaluation and reconciliation process.

Test and Learn Lot 2 End of Year Reconciliation

262. If you do not deliver 100% of the funding provided for Test and Learn pilots at the end of the pilot period for procured contracts for service with a Lot 2 allocation, we will confirm the value of funding you must pay back in a Lot 2 Test and Learn pilot reconciliation statement.
Annex A – Requirements for sub-contracting

A1 You must take your own legal advice about the impact of Public Contracts Regulations 2015 on your recruitment of delivery Subcontractors and have this advice available for inspection by us on request.

A2 Your governing body or board of directors and your accounting officer (senior responsible person) must be satisfied that all your delivery 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.

A3 Your Subcontractors do not need to register with the Combined Authority, however, we expect full due diligence checks to be undertaken by Lead Providers and all subcontracted provision to be declared to the Combined Authority for agreement prior to the commencement of any learning by the Subcontractor.

A4 Subcontracts of all values will be declared and published once agreed by the Combined Authority.

A5 If your organisation does not apply a rigorous subcontracting due diligence process, we will review your funding arrangements and limit your ability to subcontract provision.

A6 You must not subcontract to meet short-term funding objectives.

A7 You must only use delivery Subcontractors:
- 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 CVs of relevant staff;
- 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; and
- If you have robust procedures to ensure subcontracting does not lead to the inadvertent funding of extremist organisations.

A8 You are responsible for all the actions of your delivery Subcontractors connected to, or arising out of, the delivery of the services which you subcontract.

A9 All subcontracted Providers must have a valid UKPRN number and be registered on the UK Register of Learning Providers. [https://www.ukrlp.co.uk/](https://www.ukrlp.co.uk/).

Selection and procurement

A10 You must get our written approval before awarding a subcontract to a delivery Subcontractor and keep evidence of this. We will place restrictions on your future use of AEB delivery Subcontractors if approval is not sought and agreed prior to delivery taking place.

A11 When appointing delivery Subcontractors, you must avoid conflicts of interest and you must:
• Write to us through your Relationship Manager about any circumstances (for example, where you and your proposed Subcontractor have common directors or ownership) which might lead to an actual or perceived conflict of interest;
• Not award the subcontract without our written permission; and
• Keep as evidence both your request and our reply.

A12 You must carry out your own due diligence checks when appointing delivery Subcontractors and have both the process and the results available for inspection by us. You must not use a delivery Subcontractor’s presence on the ESFA Register of Training Organisations, or any other public register or database, as an indicator that they are suitable to deliver to your specific requirements.

A13 You must not appoint any delivery Subcontractors for a period greater than a single academic year.

A14 You must not appoint any delivery Subcontractors and provide funding to commence delivery without our prior written approval.

A15 You must obtain information from each proposed delivery Subcontractor in relation to the other subcontracts they hold including those published on List of Declared Subcontractors by the Education and Skills Funding Agency and other funders.

A16 You must ensure any delivery Subcontractor you appoint continues to meet the requirements of your due diligence procedures and that you provide them with all the necessary support.

A17 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 below no longer apply.

• If Ofsted has rated your leadership and management as inadequate.
• If you do not meet our jointly agreed Minimum Standards between the Combined Authority and the Education and Skills Funding Agency.
• If the outcome of any annual financial health assessment is inadequate, unless we have provided written permission in advance.

**Entering into a subcontract**

A18 You must only award contracts for delivering provision funded by the AEB to legal entities. If the legal entity is a registered company, it must be recorded as ‘active’ on the Companies House database.

A19 You must not award a subcontract to any organisation if:

• It has an above-average risk warning from a credit agency;
• It has passed a resolution (or the court has made an order) to wind up or liquidate the company, or administrators have been appointed; and/or
• Its statutory accounts are overdue.

A20 You must make sure that learners supported through subcontracting arrangements know about you and your delivery Subcontractor’s roles and responsibilities in providing the learning.

A21 You must have a legally binding contract with each delivery Subcontractor that includes all the terms set out below.

A22 You must have a contingency plan in place for learners in the event that:

• You need to withdraw from a subcontract arrangement;
• A delivery Subcontractor withdraws from the arrangement; and
• A delivery Subcontractor goes into liquidation or administration.

A23 You must make sure that the terms of your subcontracts allow you to:

• monitor the delivery Subcontractor’s activity
• have control over your delivery Subcontractors
• monitor the quality of education and training provided by delivery Subcontractors

A24 You must obtain an annual report from an external auditor if the AEB subcontracts with your delivery Subcontractors will exceed £100,000 in any one funding year. The report must:

• Provide assurance on the arrangements to manage and control your delivery Subcontractors; and
• Comply with any guidance issued by us.

A25 You must supply us with a certificate signed by the external auditor and an authorised signatory to confirm you have received a report that provides satisfactory assurance. We may ask you to provide a copy of the full report.

Terms that you must include in contracts with delivery Subcontractors

A26 You must make sure your delivery Subcontractors:

• Meet the requirements set out in our funding rules;
• Provide you with ILR data so your data returns to us accurately reflect your Subcontractor’s delivery information;
• Give us, and any other person nominated by us, access to their premises and all documents relating to the Combined Authority AEB funded provision;
• Give you sufficient evidence to allow you to:
  o assess their performance against Ofsted’s Common Inspection Framework
  o incorporate the evidence they provide into your self-assessment report
  o guide the judgements and grades within your self-assessment report
• Always have suitably qualified staff available to provide the education and training we fund through the AEB;
• Co-operate with you to make sure there is continuity of learning if the subcontract ends for any reason;
• Tell you if evidence of any irregular financial or delivery activity arises; irregular activity could include, but is not limited to:
  o non-delivery of training when funds have been paid
  o sanctions imposed on the delivery Subcontractor by an awarding organisation
  o an inadequate Ofsted grade
  o complaints or allegations by learners, people working for the delivery Subcontractor or other relevant parties
  o allegations of fraud
• 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;
• Do not use our funding to make bids for, or claims from, any European funding on their own behalf or on our behalf; and
• Do not use payments made as match funding for ESF co-financing projects.

Monitoring
A26 You must manage and monitor all of your delivery Subcontractors to ensure that high-quality delivery is taking place that meets our funding rules.

A27 You must carry out a regular and substantial programme of quality-assurance checks on the education and training provided by delivery Subcontractors, including visits at short notice and face-to-face interviews with staff and learners. The programme must:

• Include whether the learners exist and are eligible; and
• Involve direct observation of initial guidance, assessment, and delivery of learning programmes.

A28 The findings of your assurance checks must be consistent with your expectations and the delivery Subcontractor’s records.

Second-level subcontracting
A29 You must not agree the use of any delivery Subcontractor where this would require you to subcontract education and training to a second level. All of your delivery Subcontractors must be contracted directly by you.

Reporting subcontracting arrangements
A30 You must provide a fully completed Subcontractor Declaration bi-annually at dates determined by the Combined Authority. If you do not make the declaration on time, we will suspend your payments. If you do not subcontract, you must still provide a nil return to confirm this within the deadline dates set.

A31 You must also update your Subcontractor Declaration if your subcontracting arrangements change during the year, in writing to the Combined Authority,
seeking permission to additional Subcontractors or increases in the value of subcontracts.

Distributing income between you and your delivery Subcontractors

A32 You must review your delivery subcontracting fees and your governing body or board of directors and your accounting officer must sign this policy pertaining to such fees.

A33 You must publish your delivery subcontracting fees and charges policy on your website before entering into any subcontracting agreements for the 2019/2020 funding year.

A34 As a minimum, you must include the following in your delivery subcontracting fees and charges policy:

- Your reason for subcontracting;
- Your contribution to improving the quality of teaching and learning;
- The funding you retain in relation to each Subcontractor’s AEB delivery for that funding year must be capped at a maximum of 20% of subcontracted earnings unless otherwise agreed in writing by us;
- The support delivery Subcontractors will receive in return for the fee you charge;
- If appropriate, the reason for any differences in fees or support provided to different delivery Subcontractors;
- Payment terms between you and your delivery Subcontractors; the timing of payments in relation to delivery and timescale for paying invoices and claims for funding received;
- How and when you communicate and discuss your policy with current and potential delivery Subcontractors;
- Timing for policy review; and
- Where you publish your policy.

A36 You must also tell us the actual level of funding paid and retained for each of your delivery Subcontractors in 2019/2020. You must email this information to your Relationship Manager using a template we will supply to you. We will let you know the date by when you must do this. We may publish the information on the Combined Authority website at our discretion.

A37 You must include the following in your published AEB delivery Subcontractor fees and charges:

- Name of each delivery Subcontractor;
- The UK Provider Reference Number of each delivery Subcontractor;
- Contract start and end date for each delivery Subcontractor;
- Funding we have paid to you for AEB delivery by each delivery Subcontractor in that funding year;
- Funding you have paid to each delivery Subcontractor for AEB delivery in that funding year;
- Funding you have retained in relation to each delivery Subcontractor’s AEB delivery for that funding year capped at a maximum of 20% of subcontracted earnings unless otherwise agreed in writing by us; and
• If appropriate, funding each delivery Subcontractor has paid to you for services or support you have provided in connection with the subcontracted delivery.
Annex B - Learner nationality eligibility for funding

B1 Please note this section is subject to potential further amendments and clarifications. These changes are likely to be made in further iterations of this document.

B2 Individuals will be eligible for LCR Combined Authority devolved AEB funding if they meet the criteria set out in the ‘who we fund’ (section 4), are currently or ordinarily resident in Liverpool City Region and their learning is taking place in England, and they:

- are a citizen of a country within the European Economic Area (EEA) or other countries determined within the EEA, including those with bilateral agreements such as Switzerland, or have settled status or the Right of Abode in the UK, and

- have been ordinarily resident in the EEA or other countries determined within the EEA, including those with bilateral agreements such as Switzerland, for at least the previous 3 years on the first day of learning

The EEA includes all the countries and territories listed below:

B3 Member states of the EU. You can access a list of member states on the EU website.

B4 Other territories categorised as being within the EU. Other territories are categorised as being within the EU for the purposes of the fees regulations. These are:

- **Cyprus**: any Cypriot national living on any part of the island qualifies for EU residency and is considered an EU national

- **Finland**: includes the Aland Islands

- **France**: the French Overseas Department (DOMS) (Guadeloupe, Martinique, French Guiana (Guyana), Reunion and Saint-Pierre et Miquelon) is part of metropolitan France and is part of the EU

- **Germany**: includes the former German Democratic Republic and the tax-free port of Heligoland

- **Portugal**: Madeira and the Azores are part of the EU; Macau is not

- **Spain**: the Balearic Islands, the Canary Islands, Ceuta and Melilla are part of the EU

- **United Kingdom**: Gibraltar is part of the territory of the EU

- **To note**: the Channel Islands and Isle of Man are part of the United Kingdom and Islands but not part of the EU.

- Andorra, Monaco, San Marino and the Vatican are not part of the EU. 55
EEA and eligible overseas dependent territories.

- For funding eligibility purposes, this is defined as all member states of the EU and Iceland, Liechtenstein, Switzerland, Norway and all the eligible British overseas territories and EU overseas territories listed in paragraph below.
- Although Switzerland is not part of the formally recognised EEA, its nationals are eligible under various international treaties signed by the UK and Swiss governments.

Eligible overseas territories of other British and EU member states.

Learners who are nationals of certain British Overseas Territories and of certain European overseas territories are eligible for funding, depending on the three-year rule on residence in the EEA. These are as follows:
- Anguilla
- Bermuda
- British Antarctic Territory
- British Indian Ocean Territory
- British Virgin Islands
- Cayman Islands
- Falkland Islands
- Henderson Island
- Montserrat
- Pitcairn, Ducie and Oeno Islands
- South Georgia and the South Sandwich Isles
- St Helena and its dependencies
- Turks and Caicos Islands
- Greenland and Faroe Isles
- Antilles (Bonaire, Curacao, Saba, St Eustatius and St Maarten)
- Aruba
- New Caledonia and its dependencies
- French Polynesia
- Saint Barthélemy
- The Territory of Wallis and Futuna Islands
- Mayotte
- French Southern and Antarctic Territories

The eligibility of individuals who do not meet the requirements above is stated below.

Any learner or relevant family member who has applied for an extension or variation of their current immigration permission in the UK is still treated as if they have that leave. This only applies if the application was made before their current permission expired. Their leave continues until the Home Office make a decision on their immigration application. Their leave will continue where they have
appealed or sought an administrative review of their case within the time allowed to them for doing so.

B8 Therefore, a learner or relevant family member is considered to still have the immigration permission that they held when they made their application for an extension, administrative review or appeal, and their eligibility would be based upon this status.

B9 You can find further information on eligibility from the UK Council for International Student Affairs.

B10 The learner’s immigration permission in the UK may have a ‘No recourse to public funds’ condition. Public funds do not include education or education funding. Therefore, this does not affect a learner’s eligibility, which must be decided under the normal eligibility conditions.

Non-EEA citizens

B11 A non-EEA citizen is eligible for funding if they have permission granted by the UK government to live in the UK, which is not for educational purposes, and have been ordinarily resident in the UK for at least the previous 3 years before the start of learning.

Individuals with certain types of immigration status and their family members

B12 Any individual with any of the statuses listed below is eligible to receive funding and are exempt from the 3-year residency requirement rule. You must have seen the learner’s immigration permission in these circumstances:
- refugee Status
- discretionary Leave to Enter or Remain
- exceptional Leave to Enter or Remain
- indefinite Leave to Enter or Remain
- humanitarian protection
- leave Outside the Rules
- section 67 of the Immigration Act 2016 Leave
- Calais leave to remain
- the husband, wife, civil partner or child of any of the above bullets

Asylum seekers

B13 Asylum seekers are eligible to receive funding if they:
- they are currently resident in the Liverpool City Region;
- have lived in the UK for 6 months or longer while their claim is being considered by the Home Office, and no decision on their claim has been made, or
- are receiving local authority support under section 23C or section 23CA of the Children Act 1989 or the Care Act 2014.

B14 An individual who has been refused asylum will be eligible if:
- they are currently resident in the Liverpool City Region;
- they have appealed against a decision made by the UK government against granting refugee status and no decision has been made within 6 months of lodging the appeal, or
- they are granted support for themselves under section 4 of the Immigration and Asylum Act 1999, or
- they are receiving local authority support for themselves under section 23C or section 23CA of the Children Act 1989.

Family members of EU and EEA nationals

B15 In the explanations below, the ‘principal’ is the European Union (EU) or EEA national. The ‘family’ or ‘family member’ is the learner, and must be the husband, wife, civil partner, child, grandchild, dependent parent or grandparent of the ‘principal’.

B16 If the learner, who is a family member of an EEA national, has been ordinarily resident in the EEA for the 3 years prior to the start of their course, they are eligible for funding.

B17 This table shows the eligibility for family members if:
- the family member is now ordinarily resident in England, but has not been ordinarily resident in the EEA for at least the previous three years before the start of learning, or
- a principal has been resident within the EEA for the last three years
Principal ordinarily resident in the EEA for three years

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<th>Family member not ordinarily resident in the EEA for three years</th>
<th>Principal ordinarily resident in the EEA for three years</th>
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<td>EU (including the UK) citizen</td>
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<td>Eligible</td>
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<td>Non-EU EEA citizen</td>
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<tr>
<td>Non-EEA citizen</td>
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Children of Turkish workers

B18 A child of a Turkish worker is eligible if both the following apply:
- the Turkish worker is currently ordinarily resident in the UK and is, or has been, lawfully employed in the UK.
- the child has been ordinarily resident in the EEA and/or Turkey for the full 3 year period before the start of their programme.

Persons granted stateless leave

B19 A person granted stateless leave is a person who:
- has extant leave to remain as a stateless person under the immigration rules (within the meaning given in section 33(1) of the Immigration Act 1971); and
- has been ordinarily resident in the UK and Islands throughout the period since the person was granted such leave.

B20 A stateless person must:
- be ordinarily resident in the UK on the first day of the first academic year of the course; and have been ordinarily resident in the UK and Islands throughout the 3 year period preceding the first day of the first academic year of the course.

B21 Certain family members are also eligible under this category if:
- the spouse or civil partner of a person granted stateless leave (and who was the spouse or civil partner of that person on the leave application date), who is ordinarily resident in the UK on the first day of the first academic year of the course, and who has been ordinarily resident in the UK and Islands
throughout the 3 year period preceding the first day of the first academic year of the course; or

- the child of a stateless person or of the stateless person's spouse or civil partner (and who was the child of that stateless person or the child of the stateless person's spouse or civil partner on the leave application date), was under 18 on the leave application date, is ordinarily resident in the UK on the first day of the first academic year of the course, and has been ordinarily resident in the UK and Islands throughout the 3 year period preceding the first day of the first academic year of the course;

- "Leave application date" means the date on which a persons granted stateless leave made an application to remain in the UK as a stateless person under the immigration rules (within the meaning given in section 33(1) of the Immigration Act 1971).

**Individuals who are not eligible for funding**

**B22** You must not claim funding for individuals who do not meet the eligibility criteria set out above, unless they are eligible under the Fees and Awards Regulations 2007 (as amended). This includes:

- those who are here illegally;
- those who are resident in the UK on a Tier 4 (general) student visa unless they are eligible through meeting any other of the categories described above;
- non-EEA citizens who are in the UK on holiday, with or without a visa;
- non-EEA citizens who are a family member of a person granted a Tier 4 visa, who have been given immigration permission to stay in the UK and Liverpool City Region and have not been ordinarily resident in the UK for the previous three years on the first day of learning;
- individuals who are ordinarily resident in the Channel Islands or the Isle of Man, unless they are also ordinarily resident within Liverpool City Region;
- those whose biometric residence permit or residence permit imposes a study prohibition or restriction on the individual.

**Other Eligible Learners**

**Learners in the armed forces**

**B23** We will fund armed forces personnel, Ministry of Defence (MoD) personnel or civil and crown servants where the learning takes place in England and they are ordinarily resident in the Liverpool City Region. 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 (UK).

**B24** Members of other nations’ armed forces stationed in England, and their family members, aged 19 and over, are eligible for funding if the armed forces individual
has been ordinarily resident in England for 3 years. We will not fund family members that remain outside of England.

**Learners temporarily outside of England**

**B24** If someone ordinarily resident in the Liverpool City Region (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**

**B25** Any learning for non-Liverpool city Region residents requires prior written approval by the Combined Authority.

**B26** 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 learners who do not live in England.

**B27** You must not actively recruit learners who live or work outside of England.

**B28** We will fund an individual who does not live in the Liverpool City Region (England), if agreed prior to the commencement of learning by the Combined Authority. For example, in cases where an employer is moving location to the Liverpool City Region, and staff will then work and/or live in the Liverpool City Region England to study or learn. We do not expect these numbers to be significant.

**B29** For learning delivered at an employee’s workplace, we will fund individuals whose main employment or normal place of work is in the Liverpool City Region where eligible e.g. for fully funded entitlement provision. These circumstances should be agreed prior to the commencement of earning with the Combined Authority in writing.

**B30** Providers who are close to the borders can deliver learning to learners who do not live in the Liverpool City Region (England) who fall within their catchment area. We will fund individuals who live in Scotland, Wales and Northern Ireland who require learning, with a Liverpool City Region based employer who deliver training only in England. We do not expect these numbers to be significant. These circumstances should be agreed prior to the commencement of learning by the Combined Authority in writing.
Annex C – Test and Learn (including Lot 2) pilots

C1 Test and Learn Pilot: English for Speakers of Other Languages (ESOL) – flexible and responsive delivery

**OUR RATIONALE:** The Government’s [Casey Review (2016)](https://www.gov.uk/government/publications/casey-review-into-language-integration-policy) stated that ‘English language is a common denominator and a strong enabler of integration’. The report recommends ‘improving English Language provision through funding for community based classes and appropriate prioritisation of adult skills budgets’. Our emerging findings from consultations with Providers, and the emerging English Skills for Growth Action Plan, details the need for discrete learning opportunities for those with skills needs related to: speaking and listening; reading and writing; and ESOL needs appropriate to the workplace. There is a need to provide opportunities for progression across these disciplines; courses at the right level and intensity for learners who may range from illiterate in their own language to graduates including pre-entry ESOL support; and learning experience enrichment with other learning alongside language skills.

**OUR AIM:** Tailor delivery of ESOL provision to more effectively address skills needs in Liverpool City Region. Provision will not be restricted to current qualifications or formulised rates, to enable optimal cohort sizes or intensive tuition where this may be beneficial, for those learners that are: economically inactive; those wishing to gain employment, but face language barriers; those facing barriers to accessing ESOL learning due to work or caring responsibilities; refugees living within Liverpool City Region with ‘permission to stay’; or asylum seekers pending a decision on ‘permission to stay’.

**KEY FEATURES:** The Combined Authority wishes to see true innovation in the delivery of ESOL locally that meets learner needs. Without being prescriptive, key features of a pilot could include one of more of the following:

- Effective initial assessment tools / diagnostic of the ESOL skills needs of learners;
- Testing of bespoke delivery for reading and writing and speaking and listening compared to employment and progression results from mainstream ESOL offers;
- Testing of results from RARPA (Recognising and Recording Progress and Achievement) approaches compared to mainstream ESOL qualifications;
- Development of pre-entry level provision for those illiterate in their own language with opportunities for progression to speaking and listening and reading and writing skills;
- Delivery as a minimum of 8 guided learning hours per week – in smaller class sizes or over an intensive initial period with reported comparisons to mainstream provision;
- Development of future ESOL tutors - support new peer mentors with teaching qualifications;
- Supporting peer language conversational clubs with peer mentor and volunteer support; and/or
- Supporting tutor Continuous Professional Development (CPD) for multiple Providers.
OUTCOMES: This may include the following:

- Better initial assessment and diagnostic tools developed;
- Number of new qualified ESOL tutors developed;
- Progression to employment or further learning other than ESOL;
- Developing new and better learning pedagogies co-designed with ESOL learners;
- Greater collaboration between Providers to meet needs and support progression;
- Successful testing of co-production techniques that informs future curriculum design; and
- Test the success of intensive smaller class sizes for a short initial period of learning.

C2 Test and Learn Pilot: Digital skills – flexible and responsive delivery

OUR RATIONALE: Digital skills are vitally important to the economic success of Liverpool City Region, both as a skill necessary for social inclusion and as they become more prevalent within the skills needs demanded by all employers. A response is needed to the digital skills capabilities needed by employers facing the challenges of industrial digitisation and residents requiring improved digital skills across longer working lives. Digital skills are vitally important to the economic success of Liverpool City Region.

Our research on digital skills demand and supply has identified significant need for a broad range of skills including Excel, coding skills, web editing and the ability to bring these skills to enhance existing job roles. Nearly all job roles need digital skills and increasingly we all need digital skills to participate in the modern world; employability skills delivery needs to get people digitally equipped to enter the labour market.

OUR AIM: To meet the demand for digitally skilled labour while ensuring that new workers have access to digital skills. The economic development potential of digitalisation is clear. Pilots will support tackling barriers to accessing digital skills for employment rather than displace current basic AEB funded digital skills that support familiarity with technology and IT confidence. Target groups for supporting digital skills for inclusive growth will include:

- Economically inactive and in need of digital skills to enable employment;
- Learners aged over 50 whose digital skills need improving to support work related skills and employment goals (including changing job roles or sector);
- Those looking to retrain who are already in work; and
- Those looking to return to work with greater digital skills following an absence, e.g. those returning to work following caring or childcare responsibilities.

KEY FEATURES: The Combined Authority wishes to see true innovation in the delivery of digital skills that delivers skills needed by employers in support of inclusive growth. Key features of a pilot could include one or more of the following:

- Encourage participation of adult returners and the upskilling of learners to progress into employment and progress to further digital learning;
- Delivery across a range of skill levels including units at Level 1 to Level 3 (although not ‘whole Level 3 qualifications’ that may necessitate Level 3 loan funding);
• Digital employability skills and/or skills needed for employment in the digital and creative sector or those digital skills required by other employers;
• Engage employers to help design bite-sized digital skills for new qualifications;
• Consideration of employer input - developing a partnership between local employers, to re-train older learners with digital skills that will enable career progression and potentially lengthen the time that they are economically active.
• Flexibility of learning, using blended approaches of classroom and digital mechanisms that allow repeats of learning sessions and catch up on missed lessons;
• Flexible timing of learning around shift patterns or at weekends reflecting learners’ work-life balance;
• Consideration of location of delivery offering local ‘pop-up’ learning access points to support learning/re-training; and
• Delivery in the workplace with digital skills needs that meet learners and employers digital upskilling need supporting learners to retain and progress in employment.

OUTCOMES: This may include the following:

• Better initial assessment and diagnostic tools developed;
• Attract, support and retrain those in work in commercially valued digital skills;
• Participation and upskilling of older working learners (aged 50 and above);
• Number of employers engaged in digital skills co-design and offering access to workers;
• Upskilled learners progressing into employment and further digital skills; and
• Supporting social mobility - re-training under-represented learners in digital skills.

C3 Test and Learn Pilot: English and maths – flexible and responsive delivery

OUR RATIONALE: On the whole Liverpool City Region’s GCSE English and maths results for residents at age 16 underperforms when compared to national averages. This poor attainment has an effect on those that require English and maths skills in later life. Confidence in mathematics and written and spoken English are transformational skills that can make a difference to the lives and employment prospects of Liverpool City Region residents. Findings from a Liverpool City Region task and finish group on lower level skills needs found that: “Course design and delivery are often based around traditional group education models, which can be inflexible and unresponsive to the needs of learners. This can also include timing of provision and the need to deliver qualifications with a lack of roll on / roll off, flexible access to skills support”. There is a lack of opportunities to provide flexible attendance and opening hours due to cost constraints and staff contracts, which can also hamper access.

OUR AIM: To ensure more local residents can access and gain the functional skills in English and maths that help residents gain the most out of work, education and everyday life. Target groups will include residents who are:

• In employment and in need of improved literacy and numeracy skills;
• Economically inactive in need of improved English and maths;
• Aged over 50 with low-level skills including a need to improve their numeracy and literacy to support work related skills and employment goals (including changing job roles or sector); and
• Those looking to return to work with literacy or numeracy skills needs following an absence, e.g. those returning to work following caring or childcare responsibilities.

KEY FEATURES: Test and Learn Pilots will trial new methods of delivery that are not restricted to formularised rates of payment, enabling smaller cohort sizes and different teaching methodologies to test potential improvements in literacy and numeracy results and outcomes. The Combined Authority wishes to see true innovation in the delivery of literacy and numeracy. Key features of a pilot could include one of more of the following:

• Testing results from RARPA approaches compared to other literacy and numeracy qualifications;
• Use of smaller class sizes or an intensive initial period of literacy and numeracy learning with comparisons to mainstream provision results for learners;
• Supporting learners with the greatest needs with additional wrap around support or intensive support / short term 1:1 provision where necessary;
• Development of peer mentors through reading and maths clubs for adults with a view to providing qualifications for new mentors/tutors particularly for maths; and
• Support tutor Continuous Professional Development (CPD) for multiple Providers.

OUTCOMES: This may include the following:

• Improved attainment in English and maths with quicker and/or better results;
• Volumes of English and maths mentors supporting provision and progressing to higher level learning and teaching qualifications through CPD;
• Learner progression into employment and/or further learning of learners;
• Successful testing of co-production techniques that informs future curriculum design;
• Test the success of intensive smaller class sizes for a short initial period of learning compared to mainstream entitlement provision; and
• Identify and share good practice in delivery of English and maths across Providers.
Annex D – Community learning objectives

D1 Focus public funding on people who are disadvantaged and least likely to participate, including in rural areas and people on low incomes with low skills.

D2 Collect fee income from people who can afford to pay and use where possible to extend provision to those who cannot.

D3 Widen participation and transform people’s destinies by supporting progression relevant to personal circumstances, for example:

- Improved confidence and willingness to engage in learning;
- Acquisition of skills preparing people for training, employment or self-employment;
- Improved digital, financial literacy and/or communication skills;
- Parents/carers better equipped to support and encourage their children’s learning;
- Improved/maintained health and/or social well-being; and
- Develop stronger communities, with more self-sufficient, connected and proactive citizens, leading to:
  - Increased volunteering, civic engagement and social integration
  - Reduced costs on welfare, health and anti-social behaviour
  - Increased online learning and self-organised learning
  - The lives of our most troubled families being turned around.

D4 Commission, deliver and support learning in ways that contribute directly to these objectives, including:

- Bringing together people from backgrounds, cultures and income groups, including people who can/cannot afford to pay;
- Using effective local partnerships to bring together key Providers and relevant local agencies and services;
- Devolving planning and accountability to neighbourhood/parish level, with local people involved in decisions about the learning offer;
- Involving volunteers and Voluntary and Community Sector groups, shifting long term, ‘blocked’ classes into learning clubs, growing self-organised learning groups, and encouraging employers to support informal learning in the workplace;
- Supporting the wide use of online information and learning resources; and
- Minimising overheads, bureaucracy and administration.
Annex E – Equality and Diversity Impact Measures (EDIMs)

E1 What are EDIMs?
- They are targets (usually quantified) aimed to address identified variation between different groups of clients and narrowing gaps.
- They define actions that set out ‘how’ quantified targets can be achieved.
- EDIMs will provide challenging but realistic targeted measures for improvement.
- They measure progress against a baseline, and have clear milestones, monitoring and reporting procedures.

E2 Why do we set EDIMs?
- To ensure all Liverpool City Region resident AEB funded learners have equal opportunity to access learning and skills to achieve success.
- Colleges, Local Authorities and Provider should aim to support learners to have equal chances of success and opportunities for progression through EDIMs.
- EDIMs provide a measure of success in narrowing gaps and any imbalances evident within a client group or where performance is not as a result of unfair or unequal access, treatment or opportunity to learning.
- To develop and share best practice in supporting particular client groups engage in learning and achieve in their learning.

E3 How should College, Local Authorities and Providers set EDIMs?
- Self-assessment reporting should identify differences for particular cohorts, trends in achievement, retention and progression.
- EDIMs are based on College and Provider analysis of their local learner cohort;
- Under-represented learners and the absence of learners engaged in learners may also be measured and targets for improvement set through EDIMs.

E4 What type of EDIMs can you set?
- Specific EDIMs could identify and seek to address and narrow gaps in relation to age, ethnicity, gender, disability and learning difficulty.
- More specific measures may include: number of starts, number of Leavers, success rates, withdrawal rates and job outcomes.
- The setting of targets should consider local demographics and local economic circumstances.

E5 Where should EDIMs be recorded?
- EDIMs should be included within a Liverpool City Region Combined Authority AEB funded self-assessment report.
- Lead Providers should ensure sub-contractors are aware and record EDIMs their own self-assessment processes.

E6 How should EDIMs be monitored?
- Colleges, Local Authorities and other Providers need to continually work to narrow gaps in learner occupancy and performance with clear actions for staff monitored through self-assessment reporting.
- EDIMs could equally be monitored through Equality and Diversity Impact Assessments as part of a change process for curriculum or generally.
Annex F – Branding Guidelines

F1 It is the responsibility of providers funded through devolved AEB to ensure that they adhere to the Branding Guidelines. All parties, including subcontractors, producing publicity materials regarding the programme must meet these requirements.

- Audits and verification checks will be carried out, it is therefore vital that all programmes not only meet the requirements but also retain verifiable evidence of compliant communication activities undertaken.

F2 Logos

- All information and communication measures provided shall acknowledge support from the Liverpool City Region AEB Funds (LCR AEB), by displaying:
  - The Liverpool City Region Combined Authority Logo and the Metro Mayor Logo (supplied together as a “lock up”) in accordance with the technical brand guidelines

- The Logos should always be clearly visible and placed in a prominent position. Its position and size shall be appropriate to the scale of the material or document being used.

- To ensure the integrity of the Logos at all times allow for the exclusion zone. This is the minimum clear area needed around the logo. For maximum impact and instant recognition, the Logo should not be crowded by other visual elements.

- Adequate white space should be left around the logo so that its prominence is not compromised. The exclusion zone allows for a clear area around the Logo at all times ensuring clarity.

- If other logos are displayed in addition then all shall have at least the same size, measured in height or width.

- In order to ensure a harmonised visual identity providers must display the Logos together with the words Liverpool City Region Adult Education Budget

- It is mandatory that the Logos are used and applied correctly, prominently and consistently on all websites, publicity materials and programme documentation produced in relation to all provision supported by the LCR AEB fund.

- The Logos shall be created in accordance with the graphic standards set out in technical brand guide (email request for this information is required)

  aeb@liverpoolcityregion-ca.gov.uk
F3 **Posters, Prints, Publications and Websites**  
Providers are required to place at least one poster with information about the programme (minimum size A3), including the financial support from the LCR AEB, at a location readily visible to the public, such as the entrance area of a building.

- The Logos shall be clearly visible and placed in a prominent position on the poster, following the required standards.

- In addition to the Logos all printed documents, publications and websites must acknowledge and reference the funding through inclusion of the following line:  
  *This programme has been funded by the Liverpool City Region Combined Authority’s Adult Education Budget.*

Examples listed below include activities and materials which must comply with the requirements (this is not exhaustive):

- Leaflets, brochures, newsletters, invitations, flyers and posters
- Case studies
- Exhibition banners and display panels
- Induction materials – Providers, including subcontractors, must ensure that they have provisions in place to notify those taking part in activities, associated with the programme, about the support from the fund at the start of their activity.

Websites -The Logos shall be visible, when landing on the website, inside the viewing area of a digital device, without requiring a user to scroll down the page. Where the provider is placing details of the funded programme on a website, which is not exclusively for the LCR AEB, the full colour version of the Logos must be placed on the main programme specific page. This does not preclude the provider from also placing the Logos on the homepage where they feel this is appropriate. Logos should be displayed in colour on websites (in all other media, colour shall be used whenever possible and a monochrome version may only be used in justified cases).

- Electronic and hard copies of all materials should be kept as evidence of compliance.

F4 **Media and PR Activity**  
A minimum of two weeks’ notice of any planned media or other official communications activities related to any programme funded by the LCR AEB must be given to the Liverpool City Region Combined Authority Communications Team via aeb@liverpoolcityregion-ca.gov.uk.

Permission needs to be granted by the Liverpool City Region Combined Authority Communications Team before any press releases or other content - e.g. news stories / features / web content - are issued or published, with final versions to include any quotes or other content required included in the press release and sign-off obtained from the Combined Authority Communications Team.
All press releases relating to programmes supported by the LCR AEB must include:
The relevant version of the Logos and must feature the following line:
  o  This programme has been funded by the Liverpool City Region
     Combined Authority’s Adult Education Budget

Please note that the funding agreement/contract for services must be in place before any media or PR activities to publicise the programme are commenced.

F5  Evidencing Publicity Activities
• Regular monitoring and audits can take place a long time after the programme has been completed. Therefore providers and subcontractors should ensure all evidence is kept until advised by the Combined Authority that it is safe to dispose of it.

• Should a Provider not adhere to the Branding Guidance they will be considered to be in breach of their grant funding agreement / contract for services.

F6  Providers are required to email aeb@liverpoolcityregion-ca.gov.uk for Logos and further technical guidance. This must be prior to contract start date to ensure standards are met from the commencement of delivery.
## Annex G – Standard Profiles

**Adult Education Budget Performance Management Points, tolerances and minimum thresholds**

<table>
<thead>
<tr>
<th>Periods in scope for changes to funding allocations</th>
<th>N/A</th>
<th>P5 – P12</th>
<th>P1 - P8</th>
<th>P9 - P12</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding in scope for reductions</td>
<td>P1 -P12</td>
<td>N/A</td>
<td>P1 – P8</td>
<td>P9 - P12</td>
</tr>
<tr>
<td>Business Case Template form published for Change Request</td>
<td>N/A</td>
<td>August 19</td>
<td>November 19</td>
<td>January 20</td>
</tr>
<tr>
<td>Tolerance for under-delivery</td>
<td>*10% - Recovery Plan returned by December 2019</td>
<td>N/A</td>
<td>**6% - Recovery Plan returned by January 2019</td>
<td>3%</td>
</tr>
<tr>
<td>Lower threshold for contract value adjustments</td>
<td>At the discretion of the LCRCA</td>
<td>At the discretion of the LCRCA</td>
<td>At the discretion of the LCRCA</td>
<td>At the discretion of the LCRCA</td>
</tr>
<tr>
<td>Business Case Template requests to be received by</td>
<td>N/A</td>
<td>December 19</td>
<td>January 20</td>
<td>March 20</td>
</tr>
<tr>
<td>Delivery information using the latest validated ILR data</td>
<td>November 19</td>
<td>November 19</td>
<td>January 20</td>
<td>March 20</td>
</tr>
<tr>
<td>Decision to approve or reject Business Case</td>
<td>N/A</td>
<td>December 19</td>
<td>February 20</td>
<td>April 20</td>
</tr>
<tr>
<td>Providers informed of the outcome</td>
<td>N/A</td>
<td>N/A</td>
<td>February 20</td>
<td>April 20</td>
</tr>
</tbody>
</table>

*Recovery Plan - requires all underperformance to be addressed by P6

**Recovery Plan - requires all underperformance to be addressed by P8
Annex H - Standard national profiles

The following table refers to P1 to P12. These represent the funding year periods where P1 is August and P12 is July.

Grant Funded Only

<table>
<thead>
<tr>
<th></th>
<th>P1</th>
<th>P2</th>
<th>P3</th>
<th>*P4</th>
<th>P5</th>
<th>P6</th>
<th>P7</th>
<th>P8</th>
<th>P9</th>
<th>P10</th>
<th>P11</th>
<th>P12</th>
</tr>
</thead>
<tbody>
<tr>
<td>AEB block grant monthly profile</td>
<td>14.44%</td>
<td>8.58%</td>
<td>8.67%</td>
<td>7.08%</td>
<td>5.69%</td>
<td>7.44%</td>
<td>5.39%</td>
<td>5.36%</td>
<td>12.69%</td>
<td>10.21%</td>
<td>8.70%</td>
<td>5.75%</td>
</tr>
<tr>
<td>AEB block grant cumulative profile</td>
<td>14.44%</td>
<td>23.02%</td>
<td>31.69%</td>
<td>38.77%</td>
<td>44.46%</td>
<td>51.90%</td>
<td>57.29%</td>
<td>62.65%</td>
<td>75.34%</td>
<td>85.55%</td>
<td>94.25%</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

Grants will be paid in month commencing August 2019

*P4 – Exceptional Allocation Change Request

2019/20 only
## Annex I – AEB Proposed Claim Payment Dates 2019/20

<table>
<thead>
<tr>
<th>Delivery period</th>
<th>Claim Date ITP</th>
<th>ILR/EAS Date</th>
<th>Payment Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aug-19</td>
<td>Sep-19</td>
<td>05/09/2019</td>
<td>19/09/2019</td>
</tr>
<tr>
<td>Sep-19</td>
<td>Oct-19</td>
<td>04/10/2019</td>
<td>24/10/2019</td>
</tr>
<tr>
<td>Nov-19</td>
<td>Dec-19</td>
<td>05/12/2019</td>
<td>19/12/2019</td>
</tr>
<tr>
<td>Dec-19</td>
<td>Jan-20</td>
<td>07/01/2020</td>
<td>23/01/2020</td>
</tr>
<tr>
<td>Jan-20</td>
<td>Feb-20</td>
<td>06/02/2020</td>
<td>20/02/2020</td>
</tr>
<tr>
<td>Feb-20</td>
<td>Mar-20</td>
<td>05/03/2020</td>
<td>19/03/2020</td>
</tr>
<tr>
<td>Mar-20</td>
<td>Apr-20</td>
<td>06/04/2020</td>
<td>23/04/2020</td>
</tr>
<tr>
<td>Apr-20</td>
<td>May-20</td>
<td>07/05/2020</td>
<td>21/05/2020</td>
</tr>
<tr>
<td>May-20</td>
<td>Jun-20</td>
<td>04/06/2020</td>
<td>25/06/2020</td>
</tr>
<tr>
<td>Jun-20</td>
<td>Jul-20</td>
<td>06/07/2020</td>
<td>23/07/2020</td>
</tr>
<tr>
<td>Jul-20</td>
<td>Aug-20</td>
<td>06/08/2020</td>
<td>20/08/2020</td>
</tr>
<tr>
<td>Code</td>
<td>Monitoring Requests</td>
<td>Description</td>
<td>How to claim funding:</td>
</tr>
<tr>
<td>------</td>
<td>-----------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>001</td>
<td>Cross Border Learners</td>
<td>To enable devolved authorities to monitor participation, achievement and outcomes associated with the fund.</td>
<td>Through usual data submission - approved grant funded providers only (occupancy report)</td>
</tr>
<tr>
<td>005</td>
<td>Test and Learn Pilot English and Maths</td>
<td>The programme will be monitoring a bespoke delivery funding pot to develop innovative delivery of English and Maths within the area</td>
<td>MCA Adjustment Line 3 only</td>
</tr>
<tr>
<td>006</td>
<td>Test and Learn Pilot ESOL</td>
<td>The programme will be monitoring a bespoke delivery funding pot to develop innovative delivery of ESOL within the area</td>
<td>MCA Adjustment Line 3 only</td>
</tr>
<tr>
<td>007</td>
<td>Test and Learn Pilot Digital</td>
<td>The programme will be monitoring a bespoke delivery funding pot to develop innovative delivery of Digital programmes within the area</td>
<td>MCA Adjustment Line 3 only</td>
</tr>
<tr>
<td>008</td>
<td>Sector Specific Monitoring</td>
<td>The programme will be monitoring a bespoke delivery funding pot assigned to particular providers targeting particular growth sectors through targeted delivery.</td>
<td>Through usual data submission (occupancy report)</td>
</tr>
<tr>
<td>010</td>
<td>Devolved AEB Low Wage Pilot</td>
<td>Remove financial barriers from learners on a low wage (as outlined in the AEB funding guidance for the appropriate MCA/GLA) by enabling learner in employment on or below our low wage threshold to be fully funded on their learning aim</td>
<td>*Using other funding adjustment field (occupancy report) **Through usual data submission (occupancy report)</td>
</tr>
<tr>
<td>013</td>
<td>Sector Based Work Academy Programme</td>
<td>The programme will monitor participants of a Sector Based Work Academy and provide analysis to the success of the programme. Please use this DAM code to indicate the main learning aim within a SBWA programme.</td>
<td>No funding attached to participation</td>
</tr>
<tr>
<td>014</td>
<td><strong>Sector Based Work Academy Programme Work Experience</strong></td>
<td>The programme will monitor participants of a Sector Based Work Academy who have successfully completed the work experience element of a Sector Based Work Academy. Please input this DAM code against the main aim when the learner has finished their Work Experience.</td>
<td>MCA Adjustment Line 1 only</td>
</tr>
<tr>
<td>015</td>
<td><strong>Sector Based Work Academy Programme Job Outcome</strong></td>
<td>The programme will monitor participants of a Sector Based Work Academy who have successfully gained a job outcome directly related to the Sector Based Work Academy placement</td>
<td>MCA Adjustment Line 2 only</td>
</tr>
</tbody>
</table>

*Interim Arrangement

**Process following interim arrangement
<table>
<thead>
<tr>
<th><strong>Glossary</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>20+ childcare</strong></td>
<td>A category of learner 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.</td>
</tr>
<tr>
<td><strong>AEB funding methodology</strong></td>
<td>The funding methodology for individuals aged 19 and over, participating in AEB learning. You can access AEB funding methodology on GOV.UK.</td>
</tr>
<tr>
<td><strong>Advanced Learner Loan</strong></td>
<td>Advanced Learner Loans are available for individuals aged 19 or above to undertake approved qualifications at levels 3 to level 6, at an approved Provider in England. Advanced Learner Loans give individuals access to financial support for tuition costs similar to that available in higher education and is administered by Student Finance England.</td>
</tr>
<tr>
<td><strong>Break in learning</strong></td>
<td>When a learner is not continuing with their learning but has informed the Provider beforehand that they intend to resume their learning in the future.</td>
</tr>
<tr>
<td><strong>Care to learn</strong></td>
<td>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.</td>
</tr>
<tr>
<td><strong>Continuers</strong></td>
<td>Learners who commenced learning in a previous funding year and remain in learning as of 1 August 2019.</td>
</tr>
<tr>
<td><strong>Community learning</strong></td>
<td>Helps people of different ages and backgrounds gain a new skill, reconnect with learning, pursue an interest, and learn how to support their children better, or prepare for progression to more formal courses / employment.</td>
</tr>
<tr>
<td><strong>Components of regulated qualification</strong></td>
<td>A subset of a qualification, which could be a unit.</td>
</tr>
<tr>
<td><strong>Direct costs of learning</strong></td>
<td>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.</td>
</tr>
<tr>
<td><strong>Distance learning</strong></td>
<td>Learning delivered away from the learner’s main place of employment or place of learning.</td>
</tr>
<tr>
<td><strong>Earnings Adjustment Statement (EAS)</strong></td>
<td>The form Providers need to fill in to claim funding that cannot be claimed through the Individualised Learner Record.</td>
</tr>
<tr>
<td><strong>Education Health and Care (EHC) plan</strong></td>
<td>An EHC plan replaces statements of special educational needs and learning difficulty 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 to ensure that the provision is delivered.</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>Employed</strong></td>
<td>An individual who has a contract of employment. This does not include self-employed individuals.</td>
</tr>
<tr>
<td><strong>English for Speakers of Other Languages (ESOL)</strong></td>
<td>The study of English by speakers of other languages.</td>
</tr>
<tr>
<td><strong>European Social Fund (ESF)</strong></td>
<td>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.</td>
</tr>
<tr>
<td><strong>Exceptional learning support</strong></td>
<td>Learning support funding to meet the costs of putting in place a reasonable adjustment for a learner who requires more than £19,000 in a funding year.</td>
</tr>
</tbody>
</table>
| **Full level 2** | The following qualifications are designated full at level 2:  
  - a General Certificate of Secondary Education in five subjects, each at grade C or above, or grade 4 or above  
  - a Technical Certificate at level 2 which meets the requirements for 2018/2019 16 to 19 performance tables |
| **Full level 3** | The following qualifications are designated full at level 3:  
  - a General Certificate of Education at the advanced level in two subjects  
  - a General Certificate of Education at the AS level in four subjects  
  - a QAA Access to Higher Education (HE) Diploma at level 3  
  - a Technical level or applied general qualification at level 3 which meets the requirements for 2018 16 to 19 performance tables |
<p>| <strong>Full or co-funding Indicator (FFI)</strong> | Indicates whether a learning aim is fully funded or co-funded in Adult Skills or Other Adult Funding. |
| <strong>Functional skills</strong> | 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. |</p>
<table>
<thead>
<tr>
<th>Term</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Funding Agreement</td>
<td>The agreement between the Liverpool City Region Combined Authority and Providers who receive devolved AEB funding for education and skills training for Liverpool City Region residents.</td>
</tr>
<tr>
<td>Funding model (10 and 35)</td>
<td>Identifies the funding methodology applied to submission of finalised ILR data. For AEB funding, Funding Model 10 and 35 are used, noting model 10 is non-formula funded (i.e. ILR data does not generate a funding rate and is paid on monthly profile) and model 35 is formula funded. Refer to 2018 to 2019 ILR Specification, for more information.</td>
</tr>
<tr>
<td>Funding year</td>
<td>The ESFA adult funding system operates on a funding year basis, which starts on 1 August and finishes on 31 July.</td>
</tr>
<tr>
<td>Guided learning</td>
<td>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 2016.</td>
</tr>
<tr>
<td>Hardship</td>
<td>Within learner support, a category of support to assist vulnerable and disadvantaged learners to remove barriers to education and training.</td>
</tr>
<tr>
<td>The Hub</td>
<td>The Hub provides an online service to search all learning aims, components of qualifications, apprenticeship frameworks and standards along with their validity and funding details.</td>
</tr>
<tr>
<td>Individualised Learner Record (ILR)</td>
<td>The primary data collection requested from learning Providers for further education and work-based learning in England. Government uses this data to monitor policy implementation and the performance of the sector. It is also used by organisations that allocate funding for further education.</td>
</tr>
<tr>
<td>Job outcome compensation payment</td>
<td>Payments made for learners who are unemployed at the start of learning who cease learning to take up a job.</td>
</tr>
<tr>
<td>Lead Provider</td>
<td>A Lead Provider is a college, training organisation or employer that has a direct contractual relationship with Liverpool City Region Combined Authority.</td>
</tr>
<tr>
<td><strong>Learner file</strong></td>
<td>A collection of documents and information brought together to form a single point of reference relating to the learning that is taking place. This provides the evidence to prove the learner exists, is eligible for funding and the learning to be provided is relevant.</td>
</tr>
<tr>
<td><strong>Learning support</strong></td>
<td>Funding to enable Providers to put in place a reasonable adjustment, set out in the Equality Act 2010, for learners with an identified learning difficulty and/or disability to achieve their learning goal.</td>
</tr>
<tr>
<td><strong>Learner support</strong></td>
<td>Funding to enable Providers to support learners with a specific financial hardship that might prevent them from being able to start or complete their learning.</td>
</tr>
<tr>
<td><strong>Learning aim reference number</strong></td>
<td>The unique eight-digit code used to identify a specific learning aim.</td>
</tr>
<tr>
<td><strong>Learning delivery monitoring (LDM)</strong></td>
<td>A code used as part of the Individualised Learner Record (ILR) to indicate participation in programmes or initiatives.</td>
</tr>
<tr>
<td><strong>Learning planned end date</strong></td>
<td>The date entered onto the individualised Learner Record (ILR) when the learner is expected to complete their learning.</td>
</tr>
<tr>
<td><strong>Local flexibility</strong></td>
<td>Regulated qualifications, and or their components, and non-regulated learning that the ESFA funds, that is not part of the English and maths, or level 2 or level 3 legal entitlement offer. All regulated and non-regulated learning that is available for funding through the flexible local offer is listed on The Hub.</td>
</tr>
<tr>
<td><strong>Low wage threshold</strong></td>
<td>The Combined Authority has set a threshold salary level to the Real Living Wage or the equivalent of £17,550 per annum (as of 2018) to enable low paid employed people to access fully funded skills provision.</td>
</tr>
</tbody>
</table>
| **Non-regulated learning** | Learning which is not subject to awarding organisation external accreditation in the form of a regulated qualification. It may be designed, delivered and certificated by a Provider or another organisation. This could include:  
  • independent living skills and engagement learning  
  • employability and work skills  
  • labour market re-entry  
  • technical education tasters  
  • community learning |
<table>
<thead>
<tr>
<th>Topic</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Non-formula community learning funding</strong></td>
<td>Where applicable, Providers receive a non-formula funded community learning allocation' as part of their AEB which is paid on a monthly profile. Submission of ILR data does not generate a funding value for the learning aim/s a learner participates on. Instead, Providers attribute costs up to the value of their non-formula community learning allocation. Providers submit community learning data through funding model 10 - refer to <a href="#">2018 to 2019 ILR Specification</a> for more information.</td>
</tr>
<tr>
<td><strong>Ofqual</strong></td>
<td>The Office of Qualifications and Examinations Regulation, which regulates qualifications, examinations and assessments in England.</td>
</tr>
<tr>
<td><strong>Personal learning record (PLR)</strong></td>
<td>A database that 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.</td>
</tr>
<tr>
<td><strong>Recognising and Recording Progress and Achievement (RARPA)</strong></td>
<td>The Learning and Work Institute have undertaken a consultation on the RARPA Cycle and have published <a href="#">updated RARPA Guidance</a>. This comprises a clear framework designed to support learners through the learning process, identifying key outcomes. It provides a robust approach to quality control and improvement of non-regulated provision with a focus on self-assessment that supports standards acceptable to the Office of Standards in Education (Ofsted). You can access further information from <a href="#">The Learning and Work Institute</a>.</td>
</tr>
<tr>
<td><strong>Recognition of prior learning (RPL)</strong></td>
<td>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 and understanding; or • Skills they already have and so do not need to undertake a course of learning for that component or qualification.</td>
</tr>
<tr>
<td><strong>Residential</strong></td>
<td>Support provided under learner support to learners receiving specialist provision, which involves a residential element, or to support learners who cannot receive provision locally.</td>
</tr>
<tr>
<td><strong>Regulated Qualifications Framework (RQF)</strong></td>
<td>The RQF provides a way of understanding and describing the relative level and size of qualifications. The RQF, operated by Ofqual, is a single regulatory framework containing a range of general, technical and professional qualifications.</td>
</tr>
<tr>
<td><strong>Senior responsible person</strong></td>
<td>For example, chief executive, managing director, principal or their equivalent.</td>
</tr>
<tr>
<td><strong>Self-declaration</strong></td>
<td>A process where the learner is able to confirm something through his or her own signature.</td>
</tr>
<tr>
<td>---------------------</td>
<td>--------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| **Social Value**    | A positive commitment to improving the social, economic and environmental well-being of the Liverpool City Region through their activities.  
Social Value contributions could include outcomes such as:  
- Creating apprenticeships;  
- Creating local job opportunities;  
- Creating employer volunteering opportunities;  
- Creating opportunities for disadvantaged people including long term unemployed, ex-offenders and people with disabilities;  
- Employers going into local schools and facilitating study visits at their places of business;  
- Use of local suppliers;  
- Reducing energy consumption; and  
- Delivering environmental benefits to the Liverpool City Region. |
| **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. |
| **Statutory entitlement** | The [statutory entitlement to education and training](#) allows learners to be fully funded who are aged:  
- 19 and over, who have not achieved a Grade A*-C, grade 4, or higher, and study for a qualification in English or maths up to and including level 2; and/or  
- 19 to 23, if they study for a first qualification at level 2 and/or level 3. |
<p>| <strong>Subcontractor</strong>   | A separate legal entity that has an agreement with you to deliver any element of the education and training we fund. A separate legal entity includes companies in your group, other associated companies and sole traders. It also includes individuals who are self-employed or supplied by an employment agency, unless those individuals are working under your direction and control, in the same way as your own employees. |</p>
<table>
<thead>
<tr>
<th>Submit Learner Data Service</th>
<th>The <a href="#">Submit Learner Data Service</a> provides an online service for the return of your Individualised Learner Record and completed EAS.</th>
</tr>
</thead>
<tbody>
<tr>
<td>UK Provider reference number (UKPRN)</td>
<td>A unique identifying number given to all Providers by the UK register of learning Providers.</td>
</tr>
<tr>
<td>Unique Learner Number (ULN)</td>
<td>A 10-digit number used to match a learner's achievement to their personal learning record (PLR).</td>
</tr>
<tr>
<td>Work placement</td>
<td>A placement with an employer in a workplace setting as part of a Sector-based work academy.</td>
</tr>
</tbody>
</table>