

WEST MIDLANDS COMBINED AUTHORITY

Adult Education Budget

FUNDING

RULES 2020/2021

**(For the funding year 1 August 2020 to 31 July
2021)**

DRAFT

Version 1

This document sets out the funding rules that apply to all providers of education and training who receive adult education budget funding for residents residing in the West Midlands Combined Authority (WMCA) area.

Contents

Section 1 – Overview	7
Devolution of the Adult Education Budget.....	7
Introduction and purpose of the document.....	9
Understanding the terminology	9
Section 2 – Principles of funding	10
Qualifying days for funding.....	10
Recognition of prior learning	11
Starting, participating and achieving	11
Breaks in learning	12
Self-declarations by residents	12
Confirmation and signatures	12
Leaving learning.....	12
Match funding	12
Section 3 WMCA Devolved Adult Education Budget.....	14
Eligibility for WMCA residency funding	14
Who the WMCA funds.....	15
What the WMCA funds.....	17
Legal Entitlements	18
Local Flexibility.....	18
What the WMCA will not fund	19
Support funding.....	20
Learning Support	20
Exceptional learning support claims above £19,000	20
Resident Support	20
Community Learning.....	21

Prince's Trust.....	21
Supply Chain.....	21
Section 4 Data Submission	23
Resident file	23
Annex One - Key Definitions	26
Employed	26
Residents in receipt of low wage.....	27
Full level 2.....	27
Full level 3.....	27
Eligible qualifications.....	28
Non-regulated learning.....	28
Learning in the workplace	29
English and maths for those aged 19 or older.....	29
Digital entitlement for those aged 19 or older.....	30
Individuals aged 19 to 23 (excluding English, maths and ESOL).....	31
Individuals aged 24 or older (excluding English, maths and ESOL).....	31
English for Speakers of Other Languages (ESOL)	32
Annex Two - Eligibility for funding	33
Non-EEA citizens	35
Individuals with certain types of immigration status and their family members	35
Asylum seekers.....	35
Family members of EU and EEA nationals (WMCA residents)	36
Children of Turkish workers (WMCA residents)	37
Persons granted stateless leave (WMCA residents).....	37
Residents in the armed forces	38
Individuals who are not eligible for funding	38
Annex Three - Learner Support.....	39
Learning Support (included in AEB allocation)	39
Learner Support (included in AEB allocation)	39
Hardship.....	40

20+ childcare	41
Annex Four - Supply Chain	42
Supply Chain Definition.....	43
Your policy for supply chain delivery members	44
Minimum content requirements for your policy for supply chain delivery member ..	44
Selection and procurement of your supply chain delivery members	46
Entering into a supply chain delivery agreement.....	47
Monitoring of your supply chain delivery members and subcontracted provision....	50
Second-level supply chain delivery member	50
Reporting your supply chain arrangements.....	51
Annex Five - Community Learning	53
The Offer.....	53
Data and Funding	55
Non-formula community learning funding	56
Pound Plus and local fee remission policy	57
Partnership working	57
Annex Six - English & Maths	58
Courses.....	58
Annex Seven - English for Speakers of Other Languages (ESOL)	59
The Offer.....	59
Role of providers.....	60
Annex Eight - Digital Entitlement.....	61
The Offer.....	61
Role of providers.....	61
Courses.....	62
Annex Nine – Specification: Entry Level.....	63
The Offer.....	63
Role of providers.....	63
Annex Ten - Specification: Construction Gateway	64
The Offer.....	64

Role of Providers	65
Courses.....	66
Annex Eleven - Specification: Sector Based Work Academies (SBWA) and Sector Gateway (SG)	69
The Offer.....	69
Courses.....	71
Annex Twelve - Specification: Level 1	84
The Offer.....	84
Role of providers.....	85
Courses.....	85
Annex Thirteen - Specification: Level 2.....	91
Provider roles in delivery	91
Outcomes.....	92
Courses.....	92
Annex Fourteen - Specification: Level 3.....	93
Courses.....	94
Annex Fifteen - Specification: Level 4+	95
The Offer.....	95
Glossary	96



WMCA AEB Funding Rules Version 1: Key Changes for 2020/21

Para 5: Introduction to investment plan

Para 9: WMCA summary of flexibilities

Para 44: First full Level 3 full funding for 24+ unemployed and low wage

Para 95: Low wage updated threshold

Para 87: Focus on accurate destination reporting which was mandatory in 2019/20.
Recording of 'planned online delivery'

Para 121: Digital Entitlement

Para 125: Direction of travel related to non-entitlement and non-priority listed level 2 qualifications.

Para 144: Home Office update on evidence to clarify immigration permission

Annex 4: Supply chain broader scope to include reporting on services provided in addition to training delivery. Ofsted outcome for supply chain delivery members and future direction of travel. Increased focus on supply chain declaration. Reductions to allocations may be made if notifications are not adhered to.

Annex 5: Community learning introducing community learning plan and outcomes framework

Annex 11: Sector Based Work Academies, Sector Gateways and Construction Gateway. Introduction of job outcome payments.

Section 1 – Overview

Devolution of the Adult Education Budget

1. From 1st August 2019 the West Midlands Combined Authority (WMCA) became responsible for certain adult education functions of the Secretary of State under the Apprenticeships, Skills, Children and Learning Act 2009. This transfer of functions was achieved by way of orders made under the Local Democracy, Economic Development and Construction Act 2009 and the West Midlands Combined Authority (Adult Education Functions) Order 2018 (SI 2018/1144)
2. Ministers have agreed under a Memorandum of Understanding and a Data Sharing Agreement certain functions and activities will be undertaken by the Education and Skills Funding Agency (ESFA) on behalf of the WMCA for the 2020/21 funding year.
3. The WMCA is publishing these funding rules, which will apply to providers in receipt of devolved WMCA adult education budget (AEB) funding from 1 August 2020, for AEB delivery to residents in the West Midlands. This excludes the 19-24 traineeship programme and apprenticeships.
4. To deliver our ambitions for the AEB, we are seeking to create an ‘Adult Offer’ that moves us towards the following for our residents:
 - Every adult should have the opportunity to achieve a basic level of English and maths
 - Every adult should have the opportunity to gain basic digital literacy skills
 - Every adult not working and wanting to work should have the opportunity to undertake short, job-related training or longer occupational qualification training
 - Adults furthest from the job market should be able to access first steps and community-based learning that builds confidence and prepares them for further learning
 - Adults on low wages or in unstable employment should be able to access a re-training offer that helps them gain entry into a new occupation or gain higher-level skills
 - Every adult should be able to access training that leads to higher-level qualifications
5. In 2019/20, we introduced a range of flexibilities to support residents into work, upskill those in work earning below the real living wage and address skills gaps at higher levels. We will continue with these flexibilities and also extend our support for unemployed and low wage individuals for level 3 entitlement qualifications.
6. In addition, we are also introducing sector gateway programmes specific to occupational job roles to move residents into work quickly, especially those who have recently been impacted by the pandemic COVID-19.

7. We will also introduce job outcome payments to support the progression of individuals into work from Sector Based work Academies and Sector Gateways.
8. There are some areas where we need to have a sharper focus to ensure that we are supporting residents to not only move into work but also progress in work. Through delivery plans it is important to us that providers deliver their delivery plan commitments this year; even pre-COVID we had seen significant deviation from the expected outcomes. We need to see improvement in completion, accuracy and timeliness of the data collected in relation to destinations.
9. We will seek greater transparency in relation to supply chain delivery agreement, and those services provided by third parties in the delivery of AEB programmes.
10. As we have always said we're happy to share risk to see changes delivered through AEB. To enable us to do this it's important that we work proactively and collaboratively and be open and transparent. Providers may have specific flexibilities over and above these agreed as part of their delivery plan and we want to hear from providers their ideas around further flexibilities.
11. The additional flexibilities available in 2020/21 funding year are:
 - Extension of full funding for 24+ unemployed to undertake a level 3 entitlement-based qualification
 - Testing the partial or full funding of economically valuable Level 4+ qualifications and units
 - Extension of low wage trial to include level 3 entitlement qualifications

Introduction and purpose of the document

12. This document sets out the West Midlands Combined Authority (WMCA) adult education budget (AEB) funding rules for the 2020 to 2021 funding year (1 August 2020 to 31 July 2021). The rules apply to all providers of education and training who receive devolved AEB funding from the WMCA.
13. A key part of 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 adult residents engage in learning, build confidence and/or enhance their wellbeing.
14. The WMCA AEB will play a key role in supporting the recovery of the region following the pandemic and will continue to deliver the Regional Skills Plan ([RSP](#)) contributing to inclusive growth through the improvement of the qualification levels and skills of residents. Our focus is to use AEB to support those who are unemployed, and those residents in low-paid and/or low-skilled jobs who wish to retrain to source employment in higher-paid or more sustainable work.
15. These rules do not apply to apprenticeships, traineeships and advanced learner loans or to education and training services funded by the European Social Fund. The Education and Skills Funding Agency (ESFA) will continue to fund apprenticeships, traineeships and advanced resident loans for WMCA residents – you can access these separate funding rules on the GOV.UK website.
16. This document forms part of the terms and conditions of funding, and you must read them in conjunction with your funding agreement. You must operate within the terms and conditions of the funding agreement, these rules, and the Individualised Resident Record (ILR) Specification. If you do not, you are in breach of your funding agreement with WMCA.
17. All information, including any hyperlinks, were correct when the WMCA published this document. During the 2020/21 funding year, this document will be kept under review to reflect how we may need to respond to the changing economic context. The WMCA reserves the right to make changes to these rules and will publish any updated versions on the WMCA website.

Understanding the terminology

18. The term 'WMCA' refers to the West Midland Combined Authority. When WMCA refers to 'you' or 'providers', this includes Colleges, Sixth Form Colleges, independent training providers (ITPs), voluntary community sector providers and Local Authorities who receive funding from us to deliver adult education and training to WMCA residents. WMCA will use the generic term 'you' or 'provider' unless the requirements only apply to a specific provider type. The term funding agreement can be a Grant agreement or a contract. Key definitions used in the adult education budget (AEB) and a full glossary of terms are included in Annex 1.

Section 2 – Principles of funding

19. These funding rules apply to all residents in the WMCA area starting new learning aims on or after 1 August 2020. The WMCA will also have responsibility for continuing residents who commenced learning in 2019/2020.
20. You must hold evidence to assure us that you are using WMCA AEB funding appropriately. Most evidence will occur naturally from your normal business process, but if required by the WMCA, additional evidence should be retained. It is a condition of funding that all outcomes for WMCA residents, either directly delivered by you or your supply chain delivery members, are recorded on the ILR.
21. The WMCA Adult Education Budget must only be utilised to fund WMCA residents. Funding cannot be transferred between different budgets, including, where applicable, your ESFA Adult Education Budget, Apprenticeships and advanced resident loans.
22. The WMCA will continually review and monitor whether the education and training you provide is delivering positive and agreed outcomes as detailed and agreed by WMCA within your 2020/21 Delivery Plan. Contract for Services Providers can only deliver what has been agreed within the Delivery Plan. The WMCA will also monitor your performance to ensure that the funding you received from the WMCA is delivering high quality provision for adults within the WMCA area and represents good value for money. Risk-based provider management arrangements will operate between you and the WMCA. These regular performance monitoring meetings will take place throughout the funding agreement period. The focus of the main discussion will be your progression towards meeting your Delivery Plan, but we'll also discuss your plans more generally and your ideas for the future.
23. If the WMCA considers the delivery is not resulting in positive outcomes for adults in the WMCA area and/or the quality of provision is not to the required standard, the WMCA may (following a discussion with you) reduce your grant allocation or contract value. Equally, if you are finding it difficult to deliver your allocation or you have unmet demand, then we want you to tell us. Additional information is contained in the AEB Provider Payment & Performance Management Framework.

Qualifying days for funding

24. A resident 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. This does not apply where the resident achieves the learning aim. We continue to have alignment with the ESFA rule but remain open to reviewing this.

Planned length of learning aim	Minimum qualifying days
168 or more days	42 days
14 – 167 days	14 days

Fewer than 14 days	1 day
--------------------	-------

Recognition of prior learning

25. The WMCA expectation is that providers will not require residents to repeat learning related to programmes, unless there is a specific link to developing key sector vocational skills. Evidence should be retained if repeat learning is undertaken.
26. A resident 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 resident does not need
 - follow the policies and procedures set by the awarding organisation for delivery and assessment of the qualification
 - not claim funding if the prior learning meets the full requirements of the awarding organisation to achieve the learning aim
 - The WMCA does 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.
27. You must not use prior learning to reduce funding for English and maths qualifications up to and including level 2.
28. If a resident enrolls 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 the GOV.UK website.

Starting, participating and achieving

29. You can only claim WMCA-funded AEB when directly related to learning starts. You can only claim additional activity e.g. enrolment, induction, prior assessment, diagnostic testing or similar learning, if this was agreed as part of your Delivery Plan under Lot 3 activity for testing and innovation.
30. For your direct delivery, and any subcontracted delivery, you (and where relevant, your supply chain delivery member(s)) must have direct centre approval and where appropriate, direct qualification approval from the respective awarding organisation for the regulated qualifications you are offering. Delivery of the qualification (including resident 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.
31. You must have evidence that the learning took place and the resident was not certificated for prior knowledge. Where the learning is certificated, you must follow

the relevant awarding organisation's procedure for claiming the relevant certificate(s) and ensure the resident receives them. You must evidence this has happened in the resident file.

Breaks in learning

32. You can suspend learning while the resident takes an agreed and organised break from learning, where it is known that the intention of the resident is to return. This allows the resident to continue later with the same eligibility that applied when they first started their learning. Typical examples include; for economic reasons, long term sickness, maternity leave or religious trips.
33. Breaks in learning must not be used to 'suspend' learning where contact is lost, or the attendance or academic performance of the resident is poor. The WMCA will not fund a resident during a break in learning. You must have evidence that the resident agrees to return and continue with the same learning aim, otherwise you must report the resident as withdrawn. You must not use a break in learning for short-term absences, such as holidays or short-term illness.

Self-declarations by residents

34. All self-declarations must confirm the resident's details and describe what the resident is confirming for requirements set out in this document. If a resident self-declares prior attainment, you must check this in the personal learning record (PLR) and query any contradictory information with the resident. The PLR will not necessarily override the resident's self-declaration.
35. For 2020/21, WMCA-funded residents must also complete a self-declaration form to confirm that they are **employed** if they are undertaking WMCA flexibilities for those in employment.

Confirmation and signatures

36. The resident or employer must confirm the information is correct when it is collected. You must have evidence of this, which can include electronic formats. The WMCA accepts electronic evidence, including digital signatures, but you must have wider systems and processes in place to assure you that residents exist and are eligible for funding. You must keep effective and reliable evidence. You are responsible for making the evidence you hold easily available when the WMCA needs it.

Leaving learning

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

Match funding

38. Funding awarded through either contract for services or grant is classified as being 'clean' in terms of being matched with EU structural funds (e.g. ESF). Organisations commissioned to deliver AEB must not endeavour to independently match AEB funding

to any other funding stream without the express consent of the WMCA. The WMCA reserves the right to match this funding at source.

Section 3 WMCA Devolved Adult Education Budget

Eligibility for WMCA residency funding

39. WMCA AEB devolved funding can only be spent on WMCA residents with a WMCA postcode.
40. AEB funding supports the four legal entitlements to fully fund eligible adults. These are set out in the Apprenticeships, Skills and Children's Learning Act 2009. If an individual meets the legal entitlement eligibility criteria, you must not charge them any course fees and eligible residents exercising their legal entitlement must be enrolled on qualifications from the: 2020 to 2021 list of qualifications in the level 2 and level 3 legal entitlement and/or 2020 to 2021 list of English, maths and digital legal entitlement. Additional information on what the WMCA will fund is set out in paras 44-58.
41. You must not make compulsory charges relating to the direct costs of delivering a learning aim or learning programme to residents the WMCA fully funds, including those with a statutory entitlement to full funding for their learning. Direct costs include any essential activities, or materials, without which the resident could not complete and achieve their learning. If a fully-funded resident needs a Disclosure and Barring Service (DBS) check to participate in learning, you cannot charge them for this. If the learning is associated with the resident's employment, their employer is responsible for carrying out and paying for this check.
42. Providers must make sure an individual is eligible before claiming funding for them. It is your responsibility to check the eligibility of the resident at the start of each adult learning aim, and only claim funding for eligible residents. To be funded by the WMCA, residents must meet the following criteria:
 - On the first day of learning, a resident must be: Aged 19 or older on 31 August within the 2020 to 2021 funding year and reside in a residence with a WMCA postcode.
 - The WMCA recognises that a resident (from outside) the WMCA who is unaware of the funding changes due to devolution of the AEB may wish to undertake learning in the WMCA. Most grant providers will have an AEB allocation from the ESFA for non-devolved areas. Where a grant provider does not have an ESFA allocation then we will discuss directly with the provider if this can be supported. We expect these cases to be minimal but will keep this under review and seek feedback from you during the year.
 - Residents residing in residences that do not have an eligible WMCA postcode will not be funded by the WMCA. They will be funded via the relevant Mayoral Combined Authority (MCA), Greater London Authority (GLA) or ESFA. It is the provider's responsibility to ensure that the relevant funding is secured from the relevant funding body in 2020/21 for their residents. The ESFA post code checker can be found [here](#).

- The age of the resident on 31 August in the funding year determines whether the resident is funded through the WMCA’s AEB methodology. Residents aged 18 or below, or residents aged 19-24 with an Education Health Care Plan, will continue to be funded by the ESFA’s young people’s funding methodology.
- All individuals aged 19 or over on 31 August 2020 who are continuing a programme they began aged 16 to 18 (‘19+ continuers’) will continue to be funded by the ESFA’s young people’s funding methodology.
- Where the WMCA refers to a resident’s age being 19, this relates to the resident being aged 19 on the 31 August within the funding year they start a learning aim. For all other purposes, the age of the resident is taken at the start of each learning aim.
- Residents will be eligible for funding for the whole of the learning aim or learning programme if they are eligible for funding at the start, even if the duration is for over one year. You must reassess the resident’s eligibility for funding for any further learning they start.
- If an individual starts a learning aim or programme and is not eligible for funding, WMCA will not fund their learning while they remain ineligible.
- You must not fund a resident who is unable to complete a learning aim in the time they have available. Any adult resident aged 19 or over must be able to achieve the learning aim or learning programme within the time they have available.

43. Additional information on all other eligibility is included in Annex 2.

Who the WMCA funds

44. WMCA AEB devolved funding can only be spent on residents with a WMCA postcode. The WMCA flexibilities available through the devolved AEB enables it to fully, co-funded or pay differently for certain activities which it believes will deliver better impact or outcome for residents. These flexibilities will have been agreed as part of your Delivery Plan. In addition, where appropriate for the resident, you can deliver local flexibility provision alongside a legal entitlement qualification.

45. The table below shows the level of WMCA contribution from devolved AEB funding:

Provision	19-23 years of age			24+ years of age		
	Unemployed	Low wage	Employed	Unemployed	Low wage	Employed
English and maths, up to and including level 2 – not achieved GCSE grade c/level 4 or above	Fully funded*	Fully funded*	Fully funded*	Fully funded*	Fully funded*	Fully funded*

(National policy legal entitlement)						
Essential Digital Skills Qualifications up to and including level 1	Fully funded*	Fully funded*	Fully funded*	Fully funded*	Fully funded*	Fully funded*
First Full Level 2 (excluding English and maths) (National policy legal entitlement)	Fully funded*	Fully funded*	Fully funded*	Fully funded*	Fully funded*	Co-funded
Learning to progress to level 2	Fully funded^ (up to and including level 1)	Fully funded^ (up to and including level 1)	Fully funded^ (up to and including level 1)	Fully funded (up to and including level 1)	Fully funded (up to and including level 1)	Co-funded (up to and including level 1)
Learning aims up to and including level 2, (Inc. level 1, and full level 2) where the resident has already achieved a first full level 2 or above	Fully funded	Fully funded	Co-funded	Fully funded	Fully funded	Co-funded
First full Level 3 (National policy legal entitlement)	Fully funded	Fully funded	Fully funded	Fully Funded	Fully Funded	Loan funded**
Level 3 (previously achieved a full level 3 or above)	Loan funded**	Loan funded**	Loan funded**	Loan funded**	Loan funded**	Loan funded**
Level 4+	Loan funded**	Loan funded**	Loan funded**	Loan funded**	Loan funded**	Loan funded**
English for Speakers of Other Languages (ESOL) learning up to and including level 2	Fully funded	Fully funded	Co-funded	Fully funded	Fully funded	Co-funded

*Must be delivered as one of the English and maths, Digital Entitlement and/or first full level 2 or first full level 3 qualifications required as part of the legal entitlements.

^Must be delivered as entry or level one provision from local flexibility.

** Availability of loans at level 3+ does not replace the legal entitlement to full funding for residents aged 19 to 23 undertaking their first full level 3. Level 3 flexibility may apply if agreed within delivery plan as set out in paragraph 102.
Low wage flexibility refer to paragraph 95.

What the WMCA funds

46. The WMCA will only fund the provision included in your funding agreement and Delivery Plan. You must make sure that learning is eligible for funding before the resident starts. The ESFA Hub contains details of eligible regulated qualifications, qualification components and non-regulated learning aims.
47. Any delivery you undertake over and above that which is included in your Delivery Plan will not be funded, unless agreed in writing beforehand with the WMCA.
48. The WMCA may make concessions in the funding rules responding to a specific economic event impacting on residents e.g. pandemic, climate event or significant restructuring of large employer leading to residents at risk of redundancy. This will be agreed on a case by case basis.
49. The WMCA will provide partial or full funding Level 3 qualifications and units where they support progression in work or career changes through re-training. This will be agreed as part of your delivery plan with agreed levels of contribution in line with RSP priorities.
50. To support the unemployed into work, we will broaden the delivery of Sector Based Work Academies (SBWA) that comprise specific skills-based learning and work experience with a recruiting employer. We will also introduce sector gateways to enable residents to move into work quickly through short occupational training where there isn't a specific recruiting employer but there is demand in the job market and the provider will support residents to gain employment. The WMCA will agree the price as part of delivery plans under those lots specific to supporting the unemployed or through flexibilities within grant agreements.
51. For procured activity under Lot 3, we will work with those successful providers in determining the delivery plan which will set out what we will fund. The WMCA will continually evaluate the impact of Lot 3 to establish an evidence base as to how we might progressively change the way we fund skills delivery over the coming years.
52. For fully-funded residents who are unemployed, the WMCA will pay 50% of the achievement payment if they start a job before achieving the learning aim. If the resident then achieves the learning aim, the WMCA will pay the remaining achievement payment. The following conditions apply that the resident must provide you with evidence through a declaration, that they have a job for 16 hours or more a week for four consecutive weeks. [Universal Credit work allowances](#) may still apply for those residents eligible who become employed and will reduce in time based on the earnings taper rate.

53. We will also pay a job outcome payment dependent on the residents age at start of the programme based on sustained employment of 13 consecutive weeks at the same employer for SWBA and sector gateway programmes. The following conditions apply that the resident must provide you with evidence through a declaration, that they have a job for 16 hours or more a week for 13 consecutive weeks. [Universal Credit work allowances](#) may still apply for those residents eligible who become employed and will reduce in time based on the earnings taper rate. Further information can be found in Annex 11.
54. The WMCA will continue to fund the Prince's Trust Team Programme where this has been agreed with WMCA.

Legal Entitlements

The WMCA AEB supports 4 legal entitlements to full funding for eligible adult learners.

These entitlements are set out in the [Apprenticeships, Skills and Children 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 4 (C), or higher, and/or
- 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
- Information technology ('digital') skills, up to and including level 1, for individuals aged 19 and over, who have digital skills assessed at below level 1

55. If an individual meets the legal entitlement eligibility criteria, you must not charge them any course fees.
56. Eligible residents exercising their legal entitlement, must be enrolled on qualification from the:
- [2020 to 2021 list of qualifications in the level 2 and level 3 legal entitlement and/or](#)
 - [2020 to 2021 list of qualifications in the English and maths legal entitlement](#)
 - [2020 to 2021 qualifications in the digital legal entitlement](#)

Local Flexibility

WMCA also supports delivery of flexible tailored provision for adults, including qualifications and components of these and/or non-regulated learning, up to level 2 – we call this 'local flexibility'.

Local flexibility provision either is fully or co-funded, depending on the resident's age, prior attainment and circumstances. Please refer to the 'level of government

contribution' table on page 15 and paragraphs 91 to 125 for resident eligibility. Where appropriate for the resident, you can deliver local flexibility provision alongside a legal entitlement qualification.

57. Residents aged 19-23 progressing towards their first full level 2, must undertake learning at entry and/or level 1 only from local flexibility
58. Residents aged 19 to 23 who progress to their first full level 2, must only enrol on a qualification from the legal entitlement list set out in paragraph 54.
59. Residents aged 19 to 23 and aged 24 and over, who have already achievement at level 2, or above can undertake learning up to and including level 2 qualification from the local flexibility offer or qualifications in the level 2 legal entitlement list on the [Hub](#).
60. Residents aged 24 and over, who have not achieved a level 2 qualification can undertake learning up to and including level 2 qualifications from local flexibility offer or qualifications in the level 2 legal entitlement list available on the [Hub](#).

What the WMCA will not fund

61. The WMCA will not fund residents in residences that do not have an eligible WMCA postcode. They will be funded via the relevant Mayoral Combined Authority (MCA), Greater London Authority (GLA) or ESFA. It is a provider's responsibility to ensure the relevant funding is secured from the relevant funding body in 2020/21 for their residents.
62. You must not claim funding where a resident only sits or resits a learning aim assessment or examination and no extra learning takes place. You must not claim funding for any provision you deliver to a resident whose learning is taking place outside England.
63. You must not claim funding for any part of any resident's learning aim or programme that duplicates provision they have received from any other source. You must not enrol individuals on learning aims or learning 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.
64. The WMCA will not fund a resident to repeat the same regulated qualification where they have previously achieved it unless it is for any GCSE where the resident has not achieved grade C, or grade 4, or higher.
65. You must not use your WMCA AEB allocation to deliver provision to residents in custody. The Ministry of Justice funds prison education in England. Please note you can use your WMCA AEB to fund individuals released on temporary licence.
66. You must provide accurate unique resident number (ULN) information to awarding organisations and ensure all information you use to register residents for qualifications

is correct. You can find more information about the Resident Records Service on the GOV.UK website.

Support funding

67. The AEB's over-arching aim is to support as many eligible adult residents as possible to access learning. Some residents will need additional support to start or stay in learning. Where you identify that a resident has a learning difficulty or disability, or a financial barrier, your WMCA AEB allocation enables you to claim learning support and/or resident support funding to meet the additional needs of residents.

Learning Support

68. Learning support is available to meet the cost of putting in place a reasonable adjustment, as set out in the [Equality Act 2010](#), for residents who have an identified learning difficulty or disability, to achieve their learning goal. Learning support must not be used to deal with everyday difficulties that are not directly associated with a resident's learning on their programme. Additional information on resident support and how it should be claimed is included in Annex 3.

Exceptional learning support claims above £19,000

69. If a resident aged 25+ 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). Residents 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.

70. You must submit ELS claims at the beginning of the resident's programme, or when you identify the resident requires support costs more than £19,000 in a funding year, by completing and sending the ELS claims document.

71. To claim exceptional learning support for a resident 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 resident's local authority stating the reason(s) why the individual does not need an EHC plan.

72. ELS will be funded from within your AEB allocation.

Resident Support

73. Resident support is available to provide financial support for residents with a specific financial hardship preventing them from taking part / continuing in learning. Before you award support to a resident, you must identify their needs within the following 'categories'.

- Hardship funding – general financial support for vulnerable and financially disadvantaged residents to support participation
- 20+ childcare funding – for residents 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 WMCA funded AEB residents (set out in paragraph 38) where they need to live away from home

74. You must not claim more than 5% of your total Resident Support (including for 19 to 24 traineeships) 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. If you do not have a Resident Support allocation, you must follow these rules and claim resident support using the earnings adjustment statement (EAS).

75. Additional information on what you must do and how to claim are included in Annex 3.

Community Learning

76. This section only applies to providers with a non-formula Community Learning allocation included in schedule 2 of their contract. We expect community learning to be delivered in line with what we have set out in Annex 5 and our investment plans specific to work of community learning providers.

77. 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

78. Community Learning Courses are delivered and reported on the ILR. Additional information on what activity can be funded and how it should be claimed is included in Annex 5.

Prince's Trust

79. In order to deliver the team programme, you must get approval from the Prince's Trust and the WMCA.

80. For eligible WMCA residents aged 19 to 25, the WMCA will fund the team programme through the WMCA's adult funding methodology. Please also refer to the Prince's Trust section in the Adult Education Budget Funding Rates and Formula 2020 to 2021 document.

81. For eligible residents aged 16 to 19, the team programme is funded through the ESFA's young people's funding methodology.

Supply Chain

82. The WMCA, requires all of its providers to have a clear rationale as to why they use a supply chain in the delivery of the AEB – this includes recruitment, delivery of teaching, learning or assessment and job find services. We will require providers to set out rationale at course level as part of the supply chain declaration.

83. The detailed supply chain arrangements which underpin your funding agreement will need to be agreed as part of your delivery plan. If you do not have an agreement in place at the beginning of the funding year, you cannot enter into a supply relationship without the express written agreement of the WMCA.
84. You must not use your supply chain to meet short-term funding objectives.
85. If, during the funding year, you wish to make in-year changes to your agreed supply chain delivery member or arrangement, you must provide a business case with a clear rationale. This must be approved and agreed with the AEB Funding Manager prior to any additional supply chain delivery procurement activity taking place.
86. The WMCA will be reviewing, through the use of the ILR and its performance management reviews, the contributions of supply chain to your Delivery Plan.
87. The WMCA considered whether to set a funding cap on management fees for supply chains that undertake direct delivery on behalf of providers. We have concluded not to at this time, as we feel to prescribe in this way could inadvertently set a market rate. The WMCA will expect you to retain evidence to support the levels of management fees you charge for training delivery.
88. The WMCA will implement additional controls related to sub-contracting and associated third party services provided in the delivery of AEB. More details can be found in the Annex 4 but the key changes are as follows:
- Definition of the sub-contracting to be broadened to supply-chain
 - Supply chain intent to be set out through declaration
 - Declaration of course delivery at sub-contractor level
 - Ofsted inspection outcomes
89. WMCA will also be restricting the volume and value of WMCA funds held by a sub-contractor through multiple prime contract agreements – this has been delayed due to current pandemic but is due to be implemented in year.

Section 4 Data Submission

90. In addition to the information in this section, a separate document has been provided which sets out how you should submit data and how the WMCA will undertake its financial due diligence, make payments, performance manage, audit and gain assurance from its providers. This document, the Payment and Performance Framework document, should be read alongside your Contract or Grant Agreement and these detailed WMCA funding rules, as they all form part of your contractual relationship with the WMCA.
91. You should also refer to the ESFA ILR specification and provider manual for 2020/21, and any other relevant documents referred to in those documents.

Resident file

92. The Resident file will continue to be submitted to the ESFA through the Hub. The resident file must contain evidence to support the funding you wish to claim from the WMCA.
93. You must accurately complete all ESFA ILR fields as required in the 2020 to 2021 ILR Specification, published by the ESFA, even if they are not required for funding purposes.
- The ESFA ILR must accurately reflect the learning and support (where applicable) you have identified, planned and delivered to eligible WMCA residents. You must not report inaccurate information that would result in an inflated claim for funding.
 - Where your data does not support the funding you have claimed, WMCA will act to get this corrected and could recover funds you have claimed.
 - As a condition of funding, all destinations and/or progression details are a mandatory requirement for WMCA residents, this includes Community Learning. Providers must limit 'unknown' destination reporting. Destination and progression must be detailed in the defined fields within the ESFA ILR. All resident post codes must be accurately recorded at the start of an aim.
 - Following the recent COVID-19 pandemic we found a number of providers could not fully respond to the impact of the pandemic due to a lack of capacity and capability to deliver online activity although many moved quickly to start to address this. There is an ILR field to collect this information 'planned online delivery', and we are now making this field mandatory so that we can understand how delivery has changed due to recent experiences.
 - Self-declarations by residents: All self-declarations must confirm the resident's details and describe what the resident is confirming for requirements set out in this document.

- If a resident self-declares prior attainment, you must check this in the personal learning record (PLR) and query any contradictory information with the resident. The PLR will not necessarily override the resident's self-declaration.
- Evidence in the resident file must assure the WMCA that the resident exists.
- The resident must confirm information they provide is correct when it is collected.
- If the time spent in learning is short, the level of evidence in the resident file would reflect this.
- Where you hold information centrally, you only need to refer to the source.
- In line with [General Data Protection Regulations](#) (GDPR), you must record what appropriate documentation you have seen, rather than take photocopies to prove eligibility.

94. If applicable, the resident file must confirm the following:

- All information reported to the ESFA for WMCA residents in the ILR and the WMCA Earnings Adjustment Statement (EAS), and if it applies, the supporting evidence for the data you report for each resident
- Your assessment and evidence of eligibility for funding and a record of what evidence the resident has provided
- All initial basic skills and diagnostic assessments
- Information on prior learning that affects the learning or WMCA 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 resident will achieve their outcomes related to further progression e.g. employment, apprenticeship and/or further learning
- The supporting evidence about why you have claimed funding and the level of funding for a resident, including details of any resident 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 attendance/participation records are available
- A resident's self-declarations as to what state benefits they claim

- A resident's self-declarations on their status relating to gaining a job
- All records and evidence of achievement of learning aims or learning programme. This must be available within three months of you reporting it in the ESFA ILR for WMCA residents

95. You must keep evidence that the resident is eligible for funding. Where the resident 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.

96. Where your supply chain delivers any provision to the resident, it must clearly identify who it is. This must match the information reported to us in the ESFA ILR for WMCA residents.

Annex One - Key Definitions

Employed and Unemployed Residents:

The WMCA has chosen to adopt the Department for Work & Pensions labour force survey definition of employment / unemployment. This is:

Everybody aged 16 years or over is either employed, unemployed or economically inactive. The employment estimates include all people in work including those working part-time. People not working are classed as unemployed if they have been looking for work within the last four weeks and are able to start work within the next two weeks. A common misconception is that the unemployment statistics are a count of people on benefits; this is not the case, as they include unemployed people not claiming benefits.

Jobless people who have not been looking for work within the last four weeks or who are unable to start work within the next two weeks are classed as economically inactive. Examples of economically inactive people include people not looking for work because they are students, looking after the family or home, because of illness or disability, or because they have retired.

Employed

97. For 2020/21, the WMCA will continue to use the criterion to confirm whether a resident is employed. The WMCA defines residents as employed if they are in receipt of waged income as either a permanent, temporary (including part time, zero hour and agency contracts) or self-employed worker. Providers should ensure that learning for those employed is directly relevant to providing new skills to enable them to progress into new or broader job roles leading to a better-paid job.

Unemployed & Economically Inactive

98. For funding purposes, the WMCA defines a resident as 'unemployed' if they're not currently employed and are able to start work or available for work. Providers should ensure that for those unemployed, the learning is directly relevant to their employment prospects and labour market needs and is recorded in the ILP.

99. The WMCA will also define economically inactive residents who are not currently employed and seeking to secure work through re-training as 'unemployed'. For this cohort of resident's providers should ensure that the learning is directly relevant to the resident's future career aspirations in work and is recorded in the ILP. The training must also support their employment prospects and labour market needs.

100. To support assurance, activity providers should secure self-declarations from residents that can be evidenced to identify employment status set out in paragraphs 91, 92 & 93.

Residents in receipt of low wage

101. You may fully fund residents who are 'Employed' and would normally be co-funded. You must be satisfied the resident meets both of the following:

- is eligible for co-funding; and
- Earn less than £18,135 (£9.30 per hour) based on the real living wage

102. You must have seen evidence of the resident's gross annual wages in these circumstances. This could be a wage slip within three months of the resident's learning start date, bank statement showing the paid amount 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.

103. Refer to the [WMCA ILR collection guide](#) in relation to coding to claim full funding for residents who meet the requirements set out in paragraph 95.

Full level 2

104. 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, 2021 and 2022 16 to 19 performance tables

105. If a resident 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 unless paragraph 92 & 95 apply. Please contact aeb.enquires@wmca.org.uk if you need advice on a previous qualification's designation.

106. If the National Academic Recognition Information Centre has 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

107. Level 3 is the level of attainment which is demonstrated by a:

- 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
- Tech level or applied general qualification at level 3, which meets the requirements for the 2018, 2019 and 2020 16 to 19 performance tables.
- If a resident 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 Resident Loan (provided the qualification is designated for funding, and subject to resident eligibility conditions), or pay for their own learning. Please contact aeb.enquiries@wmca.org.uk if you need advice on a previous qualification's designation

108. The WMCA will fund partial or fully-funded Level 3 qualifications and units where they support progression in work or career changes. This will be agreed as part of your delivery plan with agreed levels of contribution.

109. For new linear AS and A levels, where a resident 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 ESFA ILR. The AS learning aim will be funded separately to the A level learning aim.

Eligible qualifications

110. Where you deliver regulated qualifications and/or their components, you must ensure they are eligible for WMCA AEB funding as indicated on the ESFA Hub.

111. Certain qualifications that meet statutory employer requirements or a licence to practise are eligible for unemployed residents that meet the criteria in para 93. You can find more information about these qualifications in the ESFA Qualification Eligibility Principles document on the GOV.UK website.

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

Non-regulated learning

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

- 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)
- community learning courses

114. The eligibility principles the WMCA applies 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 unless this has been agreed as a flexibility
 - It must not be learning, for example, 'induction to college', that should be part of a resident'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). At notional level 2 it must focus on technical provision
115. 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.
116. It is the intention of the WMCA to use the RARPA model to monitor, review and measure the quality and outcomes from non-regulated provision in 2020/21. Non-regulated learning should have clear achievement aims for the residents and identified progression outcomes prior to commencement of learning.

Learning in the workplace

117. The WMCA will fund learning in the workplace where a resident has a statutory entitlement to full funding for:
- English and/or maths up to and including level 2 (paragraph 113), and/or
 - Essential digital skills qualification, up to and including level 1
 - a first full level 2 (paragraph 120), or
 - first full level 3 qualification (paragraph 120)
118. The WMCA will consider funding provision in the workplace where:
- a. It is work experience linked to a Sector Based Work Academy as part of your delivery plan.
 - b. The WMCA has agreed a concession related to significant economic shock impacting on groups of residents e.g. large scale redundancy

English and maths for those aged 19 or older

119. WMCA 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.
- Stepping-stone qualifications (including components, where applicable) in English or maths approved by the Department for Education and ESFA.

120. If a resident wants to 'retake' their GCSE English and maths qualification because they did not achieve a grade 4 or higher (C or higher), WMCA will not fund the resident to only resit the exam.
121. You must not enrol individuals on qualifications which are not necessary for progressing towards a GCSE or Functional Skill level 2.
122. You must not fund an apprentice for English or maths from the WMCA AEB.
123. The WMCA will fully-fund non-regulated English and maths learning for residents, 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 resident cannot undertake provision identified in paragraph 113.
124. 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 resident's resident file to use as a basis for a programme of study
 - enrol the resident on a level above that at which they were assessed and be able to provide evidence of this
 - deliver ongoing assessment to support learning
 - record the evidence of all assessment outcomes in the resident file
125. The assessments must place a resident's current skill levels within the level descriptors used for the RQF.

Digital entitlement for those aged 19 or older

126. The WMCA has set out its approach to the digital entitlement in it Annex 8.
127. We will fully fund individuals, including individuals who are employed, aged 19 or older, assessed at below level 1, as part of their legal entitlement:
- a. Essential Digital Skills qualification (EDSQ up to and including level 1)

128. We will fully fund non-regulated digital skills learning for learners assessed at pre-entry level, with significant learning difficulties and/or disabilities as part of a personalised learning programme, where assessment has identified the learner cannot undertake accredited provision. In these circumstances you must:
- a. carry out an initial assessment using current assessment tools based on the national standards for essential digital skills
 - b. 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
 - c. enrol the learner on a level above that at which they were assessed and be able to provide evidence of this
 - d. deliver ongoing assessment to support learning
 - e. record the evidence of all assessment outcomes in the evidence pack
129. The assessments must place a learner's current skills levels within the level descriptors used for the RQF.

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

Employed, on the day they start the following learning.

130. Qualifications defined within the legal entitlement that are a resident's:
- first full level 2, and/or
 - first full level 3

The WMCA is reviewing qualifications that are not listed on the entitlement list at level 2, and those qualifications that do not demonstrate clear progression to Level 3 or into work.

These qualifications are likely not be funded or to be subject to a rate reduction at course level in future years. We will work with representative provider groups ACLA, CWM and WMPN over the course of this academic year to discuss implementation.

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

131. The WMCA 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, set out in paragraph 92 & 93.

132. The WMCA will co-fund all other residents aged 24 years and older for provision up to and including a level 2. Where residents are employed the low wage flexibility may apply at paragraph 95.

English for Speakers of Other Languages (ESOL)

133. The WMCA will fully-fund individuals aged 19 and over on the day they start their ESOL learning aim where they are unemployed, set out in paragraphs 92 and 93.
134. The WMCA will co-fund all other individuals aged 19 and over on the day they start their ESOL learning aim. Where residents are employed, the low wage flexibility may apply, refer to paragraph 95.
135. Providers offering ESOL qualifications may need to deliver additional learning to individual residents that incurs additional cost above the qualification rate. You can access information on this in the WMCA Adult Education Budget Funding Rates and Formula 2020 to 2021.

Annex Two - Eligibility for funding

136. Residents temporarily outside of England - If someone ordinarily resident in the WMCA area works outside of England as part of their job, they are eligible for funding if some of the learning takes place in England. You cannot claim for the additional expense of delivering learning outside of England or the WMCA.

137. Residents of the WMCA area will be eligible for funding if they are:

- WMCA resident on start date of learning
- UK/European Economic Area (EEA) for at least the previous three years prior to start date

Countries or areas where residency establishes eligibility for our funding

138. Member states of the European Union:

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

139. Other territories are categorised as being within the European Union for the purposes of the fees regulations; 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), France: 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.

140. 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 131 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.

141. Eligible overseas territories of other British and EU member states. Residents who are nationals of certain British Overseas Territories and of certain European overseas territories are eligible for funding, depending on the three-year rule in residence in the EEA. These are shown in the table below:

Anguilla	Oeno Islands
Bermuda	South Georgia and the South Sandwich Isles
British Antarctic Territory	St Helena and its dependencies
British Indian Ocean Territory	Turks and Caicos Islands
British Virgin Islands	Greenland and Faroe Isles
Cayman Islands	Antilles (Bonaire, Curacao, Saba, St Eustatius and St Maarten) Aruba)
Falkland Islands	New Caledonia and its dependencies
Henderson Island	French Polynesia
Montserrat	Saint Barthélemy
Pitcairn, Ducie and	The Territory of Wallis and Futuna Islands
	Mayotte
	French Southern and Antarctic Territories

142. This section on eligibility determines how eligibility to be funded can depend on a range of factors, including but not limited to; immigration status and the impact that has on their family’s ability to access training.
143. Any resident 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 permission only applies if the application was made before their current permission expired. Their leave continues until the Home Office decides on their immigration application. Their leave will continue where they have appealed or sought an administrative review of their case within the time limits allowed to them for doing so.
144. Therefore, a resident or relevant family member is considered to still have the immigration permission that they held when they made their application for an extension, and their eligibility would be based upon this status.
145. You can find further information on eligibility from the UK Council for International Student Affairs.
146. The resident’s immigration permission in the UK may have a ‘No recourse to public funds’ condition. Public funds do not include education or education funding, so this

does not affect a resident's eligibility, which must be decided under the normal eligibility conditions.

Non-EEA citizens

147. 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 three years before the start of learning.

Individuals with certain types of immigration status and their family members

148. Any individual resident in WMCA with any of the statuses listed below is eligible to receive funding and are exempt from the three-year residency requirement rule. You must have seen the learner's immigration permission which would include the biometric residence permit (BRP) and in some cases an accompanying letter from the Home Office 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 and child of any of the above in subparagraphs

Asylum seekers

149. Asylum seekers are eligible to receive funding if:

- WMCA resident
- they have lived in the UK for six 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 section 21 of the National Assistance Act 1948.

150. An individual who has been refused asylum will be eligible if:

- they have appealed against a decision made by the UK government against granting refugee status and no decision has been made within six 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 in the care of a local authority and 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 (WMCA residents)

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

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

153. Table 1 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.

Table 1: Eligibility for Family Members

		Principal ordinarily resident in the EEA for three years		
		EU (including the UK) citizen	Non-EU EEA citizen	Non- EEA Citizen
Family member not ordinarily resident in the EEA for three years	EU (including the UK) citizen	Eligible	Eligible	Not eligible
	Non-EU EEA citizen	Eligible	Not eligible	Not eligible
	Non-EEA citizen	Eligible	Not eligible	Not eligible

Children of Turkish workers (WMCA residents)

154. Under EU law there is a provision that a Turkish worker who has someone over 18 but living under the same roof as parents is eligible if both the following apply:
155. The Turkish worker is currently ordinarily resident in the UK. The Turkish worker is or has been, lawfully employed in the UK
156. The child has been ordinarily resident in the EEA and/or Turkey for the full three-year period before the start of their programme.

Persons granted stateless leave (WMCA residents)

157. 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.
158. 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 three-year period preceding the first day of the first academic year of the course.
159. Certain family members are also eligible under this category:
- 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 three-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 three-year period preceding the first day of the first academic year of the course.
160. "Leave application date" means the date on which a person 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).

Residents in the armed forces

161. The WMCA will fund armed forces personnel, Ministry of Defence (MoD) personnel or civil and crown servants where they are residents within the WMCA area. The WMCA 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 WMCA area.
162. Members of other nations' armed forces stationed in WMCA, and their family members, aged 19 and over, are eligible for funding if the armed forces individual has been ordinarily resident in England for three years. The WMCA will not fund family members that remain outside of the WMCA area.

Individuals who are not eligible for funding

163. You must not claim funding from the WMCA for individuals who do not meet the eligibility criteria set out above, this includes:
 - those who are here without authority or lawful status
 - those who are residents in other authorities outside of the WMCA area unless agreed as part of your funding agreement
 - those who are resident in the WMCA 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 WMCA on holiday, with or without a visa
 - non-EEA citizens who are a family member of a person granted a Tier 4 visa, have been given immigration permission to stay in the WMCA 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 Island or the Isle of Man, unless they are also ordinarily resident within WMCA
 - those whose biometric residence permit or residence permit imposes a study prohibition or restriction on the individual

Annex Three - Learner Support

Learning Support (included in AEB allocation)

164. Learning support must not be used to deal with everyday difficulties that are not directly associated with a resident's learning on their programme.

You must:

- carry out a thorough assessment to identify the support the resident needs
- agree and record the outcome of your assessment in the resident file
- record all outcomes on the resident file and keep all evidence of the assessment of the needs, planned and actual delivery
- report in the ESFA ILR that a WMCA resident 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 WMCA EAS if your costs exceed this monthly rate and you must keep evidence of these costs. You can find details of how to make a claim in the ESFA Funding Claims and Reconciliation Guidance.

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

Learner Support (included in AEB allocation)

167. Learner support is available to provide financial support for residents with a specific financial hardship preventing them from taking part / continuing in learning. Before you award support to a resident, in addition to identify their needs within the following categories:

168. Hardship funding – general financial support for vulnerable and financially disadvantaged residents to support participation

169. 20+ childcare funding – for residents aged 20 or older on the first day of learning who are at risk of not starting or continuing learning because of childcare costs

170. Residential Access funding – to support WMCA funded AEB residents (set out in paragraph 43) where they need to live away from home

171. 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 residents and to us on request
- assess and record the resident's needs, demonstrating the need for support

- report the appropriate Resident Support Reason codes in the 'Resident Funding and Monitoring' fields in the ILR
- complete monthly EAS claims and a final claim
- consider the availability of other support for residents, for example from Jobcentre Plus
- make it clear to residents it is their responsibility to tell the Department for Work and Pensions about any resident support they are receiving from you, as resident support payments may affect their eligibility for state benefits

172. You must not use resident support funds for any of the following:

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

Hardship

173. You can use hardship funds for any of the following:

- Course-related costs, including course trips, books and equipment (where costs are not included in the funding rate),
- Support with domestic emergencies and emergency accommodation provided by others, or by providing items or services or cash direct to the learner, this can be the form of a grant or repayable loan provided by you
- 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 residents of sixth-form age)
- Examination fees
- Accreditation fees, professional membership fees and any fees or charges due to external bodies
- Your exam registration fees
- Support provided by others, or by providing items, services or cash direct to the resident. This can be a grant or a repayable loan

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

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

20+ childcare

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

177. 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
- fund childcare for residents aged under 20 on the first day of learning; instead you must direct them to the ESFA's 'Care to Learn' programme

178. You must not use childcare for those aged 20 years or older to top up childcare payments for those receiving 'Care to Learn' payments.

Annex Four - Supply Chain

179. The decision to enable you to subcontract will have been confirmed as part of agreeing your funding agreement, Delivery Plan and a review of your supply chain declaration form. You cannot enter into a supply chain relationship without the express written agreement of the WMCA at any point in the year.
180. Any in year adjustments to supply chain delivery members must be approved by the WMCA prior to contracts awarded and any starts recorded.
181. If providers intend to source, through procurement or otherwise, additional supply chain members then the WMCA must be notified in advance of publication of procurement opportunity.

Supply Chain Definition

The WMCA considers the term 'supply chain delivery member' to encompass all third party arrangements you have with other organisations where they are managing and delivering a proportion of your WMCA delivery plan - this encompasses 'learner find' services, job placement services as well as the delivery of all or elements of the teaching, learning or assessment..

The WMCA defines a supply chain delivery member as a separate legal entity that has an agreement with you to deliver any provision or services that the WMCA funds for WMCA residents. For clarity, if you are using the funds that are paid to you by WMCA to pay for services relating to any aspect of the learner experience with you then this is part of your supply chain.

The term 'supply chain delivery member' will also apply to any partnership, associate, third party working relationships you have where your staff and/or provision is managed by another partner/ institution.

WMCA will consider all the above as a supply chain delivery arrangements, and as such will require all relevant detail on your 2020/21 Delivery Plan for appraisal by the WMCA, details will also be captured through the supply chain declaration. These arrangements must also be identified when completing the ILR using the Partner UKPRN Field.

This type of partnership working and its contribution to your Delivery Plan will be reviewed at the relevant Performance Review Meetings.

As part of the supply chain declaration providers will also set out any separate legal entity that provides support related to the delivery of the AEB covering brokerage support including learner and employer find agents and teaching or specialist input such as coaching.

Future changes to supply chain rules paused due to current pandemic.

At present a single supply chain delivery member can work with a multiple number of direct providers, and the aggregate value of the provision that they are delivering under these supply chain arrangements can be significant. The WMCA believes that it should monitor and control the level of financial exposure to WMCA in such circumstances.

The WMCA view is that single delivery supply chains with multiple directly funded providers does not provide value for money through associated management fee costs. Therefore, the WMCA is proposing to limit the number of single supply chain delivery member agreements through either an aggregate value approach or geographic related to LEP area.

In addition, where the aggregate value of sub-contractor's delivery exceeds £500,000 then the WMCA proposes to make a referral to Ofsted for the supply chain delivery member to be subject to a direct inspection.

Your policy for supply chain delivery members

182. You must take your own legal advice about the impact of Public Contracts Regulations 2015 on your recruitment of supply chain delivery members and have this advice available for inspection by us on request.
183. Your Governing Body or Board of Directors and your accounting officer (senior responsible person) must be satisfied that all supply chain delivery members meet your strategic aims and enhance the quality of your offer to learners. You must set out your intent for using a supply chain in your published supply chain fees and charges policy. You must be able to evidence this, such as minutes of meetings and written sign-off.
184. You must publish your policy for supply chain delivery on your website.
185. You must review your policy for supply chain delivery member annually. This policy must be signed by your governing body or board of directors and your accounting officer.
186. WMCA is particularly concerned about the use of third-party companies to 'find' learners, who often recruit, provide IAG and sign up learners on behalf of an organisation. WMCA will want to discuss with any providers the rationale for use of such services and why they are unable to attract learners to their provision themselves.
187. You must not subcontract for delivery to meet short-term funding objectives.
188. You must only use supply chain arrangements if you have the knowledge, skills and experience within your organisation to:
 - Competently procure and contract
 - contract with and manage those supply chain delivery members and
 - can evidence this with the CVs of relevant staff
189. You are responsible for the actions of your supply chain delivery members connected to, or arising out of, the delivery of the services, which you subcontract.

Minimum content requirements for your policy for supply chain delivery member

190. As a minimum, you must include the following in your policy for supply chain delivery:

- your contribution to improving your and your supply chain delivery member's quality of teaching and learning
- how you will identify the support required and associated costs for different supply chain delivery members
- how and when you communicate and discuss your policy for supply chain delivery member with potential supply chain delivery members, or current ones for new learner starts
- for each supply chain delivery member, how you will determine a detailed list of your specific costs for managing them, specific costs for quality monitoring activities and specific costs for any other support activities offered by you to the supply chain delivery member
- for each supply chain delivery member, how you will determine each cost is reasonable and proportionate to delivery of their teaching or learning and how each cost contributes to delivering high quality learning
- how you will ensure you describe to each supply chain delivery member, before each supply chain delivery agreement relationship is agreed:
- your reason for supply chain delivery agreement
- the services you will provide when supply chain delivery agreement to them and the associated costs when doing so, including a list of specific costs for managing the supply chain delivery member, specific costs for quality monitoring activities and specific costs for any other support activities offered by you to the supply chain delivery member
- payment terms between you and your supply chain delivery members; the timing of payments in relation to delivery and timescale for paying invoices and claims for funding received
- timing for review of your policy for supply chain delivery member
- where you publish your policy for supply chain delivery member

Selection and procurement of your supply chain delivery members

191. If you have not previously subcontracted provision we fund, you must get our written approval before awarding a contract to a supply chain delivery member and keep evidence of this.
192. If you intend to secure the services of providers to become part of your supply chain delivery members through a procurement exercise or a broker then you must notify the WMCA in advance.
193. Prior to any contract award and starts, your supply chain declaration must be updated and approved by the WMCA. No starts will be accepted for any supply chain member who has not been approved through the supply chain declaration process.
194. Failure to act in line with paragraph 217 and 218 may result in reduction of maximum contract value in line with the proposed funding value to the new supply chain member.
195. When appointing supply chain delivery members, you must avoid conflicts of interest and you must:
 - write to us about any circumstances (for example, where you and your proposed supply chain delivery member have common directors or ownership) which might lead to an actual or perceived conflict of interest and
 - not award the contract without our written permission and
 - keep as evidence both your request and our reply
196. You must carry out your own thorough due diligence checks when appointing supply chain delivery members and have both the detailed process and the results available for inspection by us.
197. You must not appoint a supply chain member to deliver training on your behalf where the most recent Ofsted full inspection outcome was inadequate or most recent Ofsted monitoring visit outcome is insufficient progress made. For supply chain members who fall into this category in year, no further starts will be accepted until either the re-inspection cycle is complete, or a monitoring visit concluded showing reasonable or significant progress
198. You must not enter new supply chain delivery agreement 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
- you do not meet our [minimum standards](#)
- the outcome of your annual financial health assessment we carry out is inadequate, unless we have provided written permission in advance.

Entering into a supply chain delivery agreement

199. You must only award contracts for delivering ESFA funded AEB provision to legal entities. If the legal entity is a registered company, it must be recorded as 'active' on the [Companies House](#) database.

200. You must not award, or renew 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
- its statutory accounts are overdue

201. You must make sure that learners supported through supply chain delivery agreement arrangements know about you and your supply chain delivery member's roles and responsibilities in providing the learning.

202. You must have a legally binding contract with each supply chain delivery member that includes all the terms set out in paragraph 210

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

- you need to withdraw from a subcontract arrangement
- a supply chain delivery member withdraws from the arrangement
- a supply chain delivery member goes into liquidation or administration

204. You must make sure that the terms of your supply chain delivery agreement allow you to:

- monitor the supply chain delivery member's activity
- have control over your supply chain delivery members
- monitor the quality of education and training provided by supply chain delivery members

205. You must obtain an annual report from an external auditor if the ESFA funded AEB contracts with your supply chain delivery members will exceed £100,000 in any one funding year.

- the report must provide assurance on the arrangements to manage and control your supply chain delivery members and
- comply with any guidance issued by us

206. You must also 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. You must forward this report to your WMCA compliance officer.

Terms that you must include in your contracts with supply chain delivery members

207. You must make sure your supply chain delivery members:

- meet the requirements set out in these funding rules
- provide you with ILR data so your data returns to us accurately reflect your supply chain delivery member's delivery information
- give us, and any other person nominated by us, access to their premises and all documents relating to WMCA funded AEB provision
- give you sufficient evidence to allow you to:
- assess their performance against [Ofsted's Education Inspection Framework](#)
- incorporate the evidence they provide into your self-assessment report
- 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 WMCA funded AEB

- co-operate with you to make sure there is continuity of learning if the subcontract ends for any reason

208. Supply chain delivery members must also tell you if evidence of any irregular financial or delivery activity arises; irregular activity could include, but is not limited to:

- non-delivery of training when funds have been paid
- sanctions imposed on the supply chain delivery member by an awarding organisation
- an inadequate Ofsted grade
- complaints or allegations by learners, people working for the supply chain delivery member or other relevant parties
- allegations of fraud

209. You should also ensure that supply chain members 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
- do not use payments made as match funding for ESF co-financing projects

210. You must include in your contract with each supply chain delivery member:

- reference to your supply chain delivery policy and where it can be found on your website
- your reason for supply chain delivery agreement with them
- a list of all services you will provide to them and the associated costs for doing so. This must include:
- a list of individually itemised, specific costs for managing the supply chain delivery member

- specific costs for quality monitoring activities and specific costs for any other support activities offered by you to the supply chain delivery member
- a description of how:
 - each specific cost is reasonable and proportionate to delivery of the subcontracted teaching or learning and
 - each cost contributes to delivering high quality learning

Monitoring of your supply chain delivery members and subcontracted provision

211. You must manage and monitor all your supply chain delivery members to ensure that high-quality delivery is taking place that meets these funding rules.
212. You must carry out a regular and substantial programme of quality-assurance checks on the education and training provided by supply chain delivery members, including visits at short notice and face-to-face interviews with staff and learners. The programme must:
213. include whether the learners exist and are eligible
214. involve direct observation of initial guidance, assessment, and delivery of learning programmes
215. The findings of your assurance checks must be consistent with your expectations and the supply chain delivery member's records.

Second-level supply chain delivery member

216. You must not agree the use of any supply chain delivery member where this would require you to deliver WMCA funded AEB provision to a second level. All your supply chain delivery members must be contracted directly by you and you may have more than one supply chain delivery member. The restriction on the level of supply chain delivery agreement is in place to ensure:
- that lead providers retain clear and transparent accountability for the quality of training provision
 - that proper and appropriate controls are in place to manage the resident experience; and

- that value for money is achieved by mitigating funding being utilised for multiple tiers of supply chain delivery member management

Reporting your supply chain arrangements

217. You must provide a fully completed supply chain declaration by the dates we will give you. This will be at least twice during the 2020 to 2021 funding year. If you do not make the declaration on time, we will suspend your payments. If you do not use supply chain delivery members, you must still provide a nil return to confirm this.
218. Within your declaration you will be asked to provide detail on your intent related to using supply chain members to undertake delivery, the value of the agreement, where the delivery will take place and the course portfolio to be provided.
219. For other supply chain services outside of delivery we expect you to confirm the service that will be provided and the cost of that service. We expect that these services would cover brokerage support including learner and employer find agents and teaching or specialist input such as coaching. We have taken this step following concerns related to the use of WMCA funds, and the need for greater transparency to reduce the risk of funds not being used as intended.
220. You must also update your supply chain declaration if, and when any of your supply chain delivery agreement arrangements change during the year. This must be approved before any award of contract.
221. You must report to us the actual level of funding paid and retained for each of your supply chain delivery members in 2020 to 2021. You must email this information to your WMCA compliance officer using a template which we will supply to you. We will let you know the date by when you must do this.
222. You must include the following on the template for WMCA funded AEB delivery:
 - name of each supply chain delivery member
 - the [UK Provider Reference Number](#) (UKPRN) of each supply chain delivery member
 - contract start and end date for each supply chain delivery member
 - funding we have paid to you for WMCA funded AEB delivery by each supply chain delivery member in that funding year

- funding you have paid to each supply chain delivery member for WMCA funded AEB delivery in that funding year
- details of the funding you have retained in relation to each supply chain delivery member's WMCA funded AEB delivery for that funding year
- if appropriate, funding each supply chain delivery member has paid to you for services or support you have provided in connection with the supply chain delivery

Annex Five - Community Learning

223. Community Learning (CL) contributes significantly to community wellbeing and social capital. It is a crucial element of the WMCA inclusive growth agenda with regard to inclusion, equality and social mobility. CL provides a link between economically and socially isolated residents and the “engaged” community, in doing so it fulfils a vital role in providing a stepping stone for those people into further learning and therefore even greater engagement with the labour market and wider society.
224. Our intent for CL is to ensure that an offer exists within each local authority area to support education for employment and education for well-being for our residents.
225. We recognise that Community Learning (CL) covers a wide range of learning designed to widen participation across all communities to support progression relevant to personal circumstances, e.g. health and well-being, better citizens, further learning, volunteering and employment, all funded via the Adult Education Budget (AEB).
226. Its key that CL provides support to those disconnected from communities and furthest away from the labour market.
227. Therefore, our approach is to invest in provision that will develop personal and social skills to support health and well-being and provide progression to further learning and work. In doing so we expect our CL providers to have established progression routes to other providers to support further learning at higher levels.
228. CL will continue to be funded under grant to those local authorities and colleges recognised by the WMCA as community learning providers.
229. For those colleges who undertake CL delivery on behalf of the local authority following CL transfer; we expect arrangements to continue through the community planning approach agreed jointly with ACLA.
230. For those colleges who have small community learning allocations, our intention is to consolidate the non-formula funded element within core AEB allocations. In a small number of circumstances, the WMCA will consider exceptions where it’s clear that the delivery is community based and is focused on personal learning development.

The Offer

231. We expect to see a curriculum offer that engages the full demographic of residents. In 2018/19 it was found that 73% of participant in CL were female, and only 6% of participants were under the age of 25 despite the stubbornly high youth unemployment rate across the region. As part of the community planning approach CL providers should consider their curriculum intent and its relevance related demographic challenges including age, ethnicity and gender.
232. It is key that CL offers the building blocks for individuals to improve their own personal health and well-being, before progressing into more formal learning to secure future work. Therefore, CL providers should be clear on the curriculum it establishes for Education for Wellbeing and Education for Work.

233. In taking forward recent recommendations from the joint WMCA and Adult Community Learning Alliance (ACLA), we will establish a community learning planning approach aggregated to a local authority area level to avoid duplication. We will also implement an outcomes framework agreed with ACLA as part of the community learning planning approach.
234. In the community learning plan community learning providers will set out their community strategy for the year which will include the following:
- i. Key local community objectives
 - ii. Demographic of target residents
 - iii. Delivery locations
 - iv. Curriculum intent
 - v. Impact and Outcomes
 - vi. Changes to delivery
 - vii. Collaboration
 - viii. Cost of funding the plan
235. As part of our joint work with ACLA we have also established an outcomes framework to enable our community learning providers to track and report impact of community learning delivery. The elements that will be captured in the outcomes framework include:
- a. Improved health and well being
 - b. Increased integration
 - c. Prepared towards employment
 - d. Improved citizenship
 - e. Improved confidence and resilience
 - f. Developed key life skills
236. The WMCA also expects that community learning provision will focus on people who are disadvantaged and least likely to participate, including in rural areas and people on low incomes with low skills, and across the WMCA priority groups including young people.
237. Community learning providers should collect fee income from people who can afford to pay, and use where possible to extend provision to those who cannot
238. Provision should also widen participation and transform people's destinies by supporting progression relevant to personal circumstances, e.g.
- 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

239. We also want to see a continued focus on developing 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

240. Through collaborative networks, we expect community learning to be able to commission, deliver and support learning in ways that contribute directly to these objectives, including:

- bringing together people from different 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
- minimising overheads, bureaucracy and administration

Data and Funding

241. Community Learning Courses are delivered and reported on the ILR under the following four delivery strands:

242. 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)

243. '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

244. Wider Family Learning - learning to help different generations of family members to learn together how to support their children's learning

245. 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
246. Please note, non-formula Community Learning funding follows funding model 10. Provider must ensure that they collect data through the ILR for paragraphs 173 to 176.

Non-formula community learning funding

247. Where applicable, your WMCA-funded AEB allocation will include an amount of non-formula community learning funding. We state this value in appendix 1 of your contract. You must deliver non-formula funded community learning provision in line with the community learning objectives set out from paragraph 192, up to this maximum amount.
248. Non-formula community learning funding is paid on a monthly profile. You must 'attribute costs' for eligible residents, up to the value of your non-formula community learning allocation. This should include the cost of delivering learning and any support costs, in line with resident and learning support, paragraphs 157 to 171. You must record these costs in the resident's learning plan.
249. If we fund you through a grant or financial memorandum, you have the flexibility to use all, or some, of your non-formula community learning funding in line with the AEB formula-funded methodology (funding model 35), to meet local demand.
250. If you use all, or some of your non-formula community learning funding to deliver formula funded non-regulated provision that may be similar to community learning, you must:
- Provide a rationale to the WMCA on why this is the case
 - follow the WMCA funded AEB formula-funded methodology and submit ILR data under funding model 35
 - enrol residents following WMCA funded AEB eligibility requirements set out on page 15 and paragraphs 45 - 58, you must not use your non-formula community learning local fee remission policy.
251. If we fund your organisation through a contract for services, you do not have this flexibility, and we will reclaim unspent non-formula community learning funding at year-end.
252. You can support residents aged under 19 if they meet both of the following. They are:
- a parent, carer or guardian attending a wider family learning or family, English, maths or language course
 - funded through non-formula community learning using funding model 10 in the funding model field (refer to ILR guidance for more information)

253. You must not use non-formula community learning funding for learning that is eligible for funding through an advanced resident loan.

Pound Plus and local fee remission policy

254. Pound Plus - the 'Pound' represents the public pound, the 'Plus' is everything else that you can generate in addition to your non-formula community learning funding allocation, such as fee income, funding from other sources, resources in kind and other sources of revenue / sponsorship / volunteering.
255. You must have in place a 'Pound Plus' policy. You must invest Pound Plus fee income / savings for the people who most need, and can least afford, community learning provision.
256. 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.
257. Your Pound Plus and Local Fee remission policies must be available on your website and/or in the venues you deliver community learning to eligible residents.

Partnership working

258. Partnership working underpins the community learning objectives and is critical to developing and delivering an effective community learning offer in a given locality.
259. You must engage and work closely with a wide range of relevant partners and stakeholders in your local area to help shape your community learning offer to engage specific groups. These could include specialist partners, such as health, Jobcentre Plus and schools, and voluntary and community sector (VCS) organisations.
260. We expect you to work with other providers in your local area, who may be in receipt of non-formula community funding to support progression. We expect you to develop a strategic, efficient community learning offer to reduce duplication of courses in a locality, and signpost residents to other partners as and when appropriate.

Annex Six - English & Maths

261. Having an adequate level of literacy and numeracy is associated with a reduced likelihood of economic disadvantage, unemployment, and poor health. These skills also enable individuals to deal with day-to-day life, to play an active role in their communities, and to engage effectively in the workplace. Low numeracy and literacy in the population also has broader implications for the community and society.
262. The WMCA investment in the English and Maths is significant with circa £22m allocated in 2019/20. We anticipate in making a similar investment this year to ensure provision of high-quality English and maths is available where it's needed.
263. It's important to us that the English and maths entitlement benefits the individual into moving into employment or supporting in work progression. To ensure value for money we also want to ensure that individuals who enrol onto English and Maths are committed and adequately supported to achieve. For 2018/19 success rates in English stood at 72.2% down 1.6% against the 2017/18 national average and Math's 73.8% which is 3% down against the 2017/18 national average.
264. We have also identified a practice of non-regulated English and maths delivery at scale. Non-regulated delivery should only be delivered in the instances where it has been identified that residents are assessed at pre-entry level, aged 19 years and over with significant learning difficulties or disabilities and is part of a personalised learning programme.

Courses

265. All English and maths are funded as part of the statutory entitlement. Therefore, all courses funded as part of the entitlement can be found here.

Annex Seven - English for Speakers of Other Languages (ESOL)

266. To be an inclusive economy we need as many skilled workers as possible in jobs. To achieve this the WMCA's approach is to remove as many barriers as possible for individuals to secure work such as been able to communicate in English.
267. For ESOL provision for health and well-being our intent is to work with our community learning providers to provide a high-quality offer of ESOL, we expect to see this in place both at pre-entry and entry level to support personal and social development. Through community learning our approach is for ESOL provision to be visible through the community settings where community learning takes place.
268. For ESOL for work, our approach is to see a greater alignment of ESOL with the development of occupational skills development. Too often the delivery of ESOL is characterised by the rigid delivery of ESOL qualifications as opposed to an embedded approach within wider occupational skills. Therefore, our intent is to see ESOL becoming more bespoke in developing language skills more appropriate to employment sectors and embedded within occupational skills development.
269. ESOL provision will continue to be available for free to eligible residents over the age of 19 who are unemployed or employed but earn below the real living wage.
270. To shape ESOL provision in the region, a sector led review was undertaken. The review titled Unlocking Potential – Making Sense of ESOL in the Region can be found here.
271. The report included a number of findings, and makes recommendations for the 2020/21 academic year that the WMCA intend to implement including:
- Developing 'ESOL for employment' courses to provide bespoke language skills more appropriate to the jobs market
 - Embedding ESOL into vocational training provision across the region
 - Developing online learning modules to make ESOL training more accessible
272. To enable individuals to progress and move into work it's important that delivery of ESOL is contextualised to job opportunities as opposed to broad range of ESOL specific qualifications. Through the use of ESOL qualifications delivered at scale we can see that it drives the delivery model and not necessarily responds to the specific need of the individual, this then can lead to inefficiencies in the £11m that the WMCA invest in ESOL.

The Offer

273. Our intent is to fund a high-quality adult offer that enables residents to develop ESOL communication skills to support both their own personal health and well-being, secure work or support in-work progression.
274. As set above, we want to see ESOL become embedded within the delivery of occupational training. To support people into work providers can establish a non-

regulated offer in ESOL contextualised in line with the language expected within the sector e.g. care, retail and construction.

275. We also want to see the development of online delivery to make ESOL training more accessible to residents. For all ESOL training either accredited or non-regulated It's important to us that individuals are clear on what they can progress to following successful completion of their learning.

Role of providers

276. Community learning plays a significant role in engaging those residents isolated in communities who need to develop their English communication skills to support both their own personal health and well-being and secure work through ESOL.
277. We expect community learning providers to have offers of both regulated across the levels and non-regulated in ESOL to support resident's progression to further learning and work. In addition, we expect community learning providers to establish on-line learning related to ESOL this could be through collaborative working.
278. Colleges and ITP's offer accredited ESOL across the levels based on need and where residents are at in current levels of English communication skills. Our expectation is that colleges and ITPs will also develop contextualised ESOL embedded within wider occupational skills development to support residents into work.
279. We also expect colleges and ITPs to establish on-line learning related to ESOL, this could be through collaborative working.
280. Supporting our inclusive growth agenda, we expect to see an improvement in progression to further learning and work through the development of essential English communication skills for our communities.

Annex Eight - Digital Entitlement

281. Digital skills are as important to employability and participation in society as English and Maths, yet an estimated one in five adults lack basic digital skills.
282. To address this, the Department of Education from 2020, alongside the existing legal entitlements to English and Maths, will introduce an entitlement to fully funded digital qualifications at level 1.
283. Adults with no or low digital skills will have the opportunity to undertake improved digital qualifications based on new national standards setting out the digital skills people need to get on in life and work.
284. As with all entitlements set by the Secretary of State, Combined Authorities with devolved AEB adopt the entitlement as part of their MOU with DfE.
285. Essential digital skills qualifications will enable adults to develop the digital skills they need for life, work or further study, as set out in the essential digital skills national standards. To support a range of purposes, these qualifications must cover all five of the skill areas from the national standards, and may cover some, or all, of the skills statements in each skill area.
286. Digital FSQs will provide reliable evidence of a residents' achievements against demanding content that is relevant to the workplace and real life and provide assessment of residents' underpinning knowledge as well as their ability to apply this in different contexts. Digital FSQs will provide a foundation for progression into employment or further education and develop skills for everyday life. The subject content for digital FSQs will reflect the full essential digital skills national standards.

The Offer

287. For residents at risk of digital exclusion we expect to see a flexible offer easily accessible in local community venues alongside provision offered as part of community learning for health and well-being and employment.
288. For residents who need to upskill digital for work it should be contextualised where possible to the relevant employment sector of work for relevance. We expect that digital skills are embedded within wider occupational skills where needed.

Role of providers

289. We expect the community learning offer in each of the 7 localities to deliver an offer that meets the essential digital skills framework for residents. This should support both employed and non-employed residents who are at risk of being digitally excluded. We expect this offer to be at Entry and level 1, primarily accredited, with a range of delivery mechanisms including through family learning.
290. We expect colleges and ITP's to focus primarily on the essential digital skills for work at level 1, 2 and above. SBWA including digital content should be including essential digital skills for work at Level 2 as a minimum.

Courses

291. The below sets out the courses that the WMCA will fund as part of the digital entitlement with associated funding:

Qual Ref	Title	Level	Funding	GLH
60172228	Award in Digital Skills (Entry 3)	Entry	£300	54
60328459	Award in Digital Skills (Entry 3)	Entry	£300	60
6034619X	Award in Skills for Digital Transactions	Entry	£150	30
60328460	Certificate in Digital Skills (Entry 3)	Entry	£724	150
M6176233	Developing Online Digital Skills	Entry	£150	30
R6168237	Digital Communications Technology	Entry	£150	30
Y6168241	Digital Safety and Security	Entry	£150	30
R6176239	Digital Technology Fundamentals	Entry	£50	10
T6168246	Search Engines and Online Research	Entry	£100	20
H6176245	Transacting Digitally	Entry	£100	20
Y5074155	Digital promotion for business	2	£112	20
J6168896	Digital Safety and Security	2	£168	24
K6174156	Digital Skills for Work	2	£168	24
R6160669	Introduction to Digital Technology Industries	2	£100	16
H5074160	Measuring the effectiveness of digital promotional activity for business	2	£112	20
6016671X	NCFE Level 2 Award In Digital Promotion for Business	2	£336	50
M5074159	Producing digital promotional content for business	2	£112	20
Y5028504	Send and Receive Digital Files	2	£65	9
R5029926	Use digital and social media in marketing campaigns	2	£100	7
60328472	Award in Digital Skills	1	£300	54
60346206	Award in Skills for Digital Transactions	1	£150	30
60328484	Certificate in Digital Skills	1	£724	135
J6168252	Digital Communications Technology	1	£150	30
D6168256	Digital Safety and Security	1	£150	30
Y6176243	Digital Technology Fundamentals	1	£50	10
M6168259	Search Engines and Online Research	1	£100	20
T6176248	Transacting Digitally	1	£100	20

Annex Nine – Specification: Entry Level

292. There is key role for entry level provision alongside community learning in connecting individuals who for a variety of reasons are disconnected from the mainstream economy. However, through qualification and curriculum development we have seen a drift in adult offers moving away from the purpose of entry level provision related to personal and social development. As a result, we are seeing too much generic employability provision which isn't moving people on and learners undertaking multiple episodes of the same learning at too many different providers.
293. Therefore, our intent is to re-align this provision back to first principles of entry level provision (excluding English, Maths and ESOL) and the providers who deliver it. Provision at entry level should provide a bridge from community learning and those furthest away from the job market to enable progression to vocational learning to secure employment.
294. There is also a need to define a clearer role for our providers to reduce blurring of lines between the role of community learning focusing on health and well-being and personal and social development, and that of broader skills element of the AEB focused on vocational learning to secure work and/or upskill.

The Offer

295. Our focus for entry level provision is for it sit alongside community-based provision to enable learners to access this provision easily. It should focus on life-skills development providing individuals with personal confidence and motivation to move into further learning to secure employment. Short and sharp vocational tasters may also be offered at entry level to support individuals in making progression decisions to further learning to secure work.
296. At this point, entry level provision should not be characterised by employability which should only be introduced at higher levels once the individual can be considered ready to work – at which point we would expect to see employability embedded within pre-employment training e.g. Sector Based Work Academies and construction gateway.

Role of providers

297. We see community learning providers playing the primary role in delivering entry level provision excluding English, maths and ESOL alongside community learning provision. Progression routes within providers and onto colleges and training providers to support further learning to employment should be established.
298. Through this approach we expect to see better value for money in terms of progression to further learning, a reduction in 'churn' generated through employability programmes and clearer access points for individuals at community level.

Annex Ten - Specification: Construction Gateway

299. Construction is identified as a high growth sector with significant demand for skills to respond to key development across the WMCA, these include Commonwealth Games, HS2, Regional rail infrastructure both Metro and Rail, and the various residential projects that are being undertaken.
300. To leverage these opportunities and ensure our residents can benefit, its essential that we have provision in place to support training into these opportunities:
301. The sector data highlights for the region;
- Skills shortages across four key areas – professional services in construction, plant operatives, traditional/wet trades and emerging trades (steel erection, concrete formwork, dry lining and modern methods of construction)
 - Construction sector requiring an additional 50,000 staff to satisfy the planned developments
 - A shortage of women in the construction sector across all roles but especially those roles within the four key shortage areas
 - A shortage of disadvantaged groups as part of the workforce of the future including ex-offenders, care leavers, BAME and residents with disabilities
302. In 2018, the WMCA introduced a pilot programme called the Construction Gateway funded by DfE to enable non-traditional training delivery to take place leading to CSCS accreditation. The focus of the provision is to support progression into entry level job roles in the construction trades, with further progression to higher skills training reflecting the needs of the sectors future workforce. Through the construction gateway 50% of residents who started secured employment.

The Offer

303. The WMCA through its AEB will fund the Construction Gateway to meet the needs of its unemployed residents in securing employment in a range of construction-based occupations including:
- Plant operative roles
 - Logistics roles
 - Health and safety roles
 - Dry Lining
 - Civil Engineering
 - Rail Sector
304. The mandatory requirements for construction gateway provision is as follows:

- Provision must be in line with CSCS requirements to ensure on completion of the programme the resident holds CSCS.
- A guaranteed job interview on completion of the programme
- Content of the delivery should be influenced by employers to enable the progression into employment
- For each resident they should be linked to real job vacancy that they have will have the opportunity to matched against through an interview.
- Providers must have a clear plan to engage with employers, DWP (JC+), Prospects (National Careers service), Local Authorities and Third Sector organisations
- Providers should be able to deliver the Construction Gateway through a range of delivery methods e.g. face to face, blended and online. Provision should be flexible to enable residents to engage but also identify prior learning in determining the point of entry onto the relevant phase of delivery.
- For those residents where a barrier has been identified e.g. travel or PPE this can be claimed via learner support.

Role of Providers

305. We expect colleges and providers who have expertise in delivering trade related construction provision to deliver the construction gateway within AEB. Those colleges and ITP's who have entry level and level 1 construction as part of their delivery plan must have in place a construction gateway offer to transition unemployed individuals into work.
306. Through this approach we want to reduce the amount of low-level construction-based provision where progression rates in work are extremely low. Our approach is to ensure that provision in place is meaningful for residents to secure employment in the construction industry and provide training for in-work progression.

Courses

307. The focus on the construction gateway is develop residents' occupational skills to secure employment in the construction sector. Through working with employers, the provider should determine the inputs required to be delivered to support the successful matching to the vacancy and interview for the resident. Providers should consider prior learning, knowledge and construction card held to determine point of entry for phase 1 and phase through initial assessment, the WMCA will only pay for 'new learning':

	Delivery	Outcome	Price per learner:
Phase 1 Construction Gateway- 4 wk programme	<p>Introduction to construction Skills and Knowledge:</p> <ul style="list-style-type: none"> ➤ Health and Safety and Welfare in Construction ➤ Introduction to Civil Engineering ➤ Introduction to Environmental Sustainability in Construction ➤ Skills for Employability in construction <p>Introduction to Plant Operations:</p> <ul style="list-style-type: none"> ➤ Environmental awareness in construction ➤ Problem Solving in the Workplace <p>Including an introduction to one of the following specialisms:</p> <ul style="list-style-type: none"> ➤ Prepare and operate a forward tipping dumper to receive and transport loads - wheeled or tracked ➤ Construction Operations within Civil Engineering ➤ Basic Formwork Carpentry Skills ➤ Carrying Out Basic Operations to Lift and Transfer Loads on a Construction Site ➤ Prepare and Operate a Ride on Roller ➤ Working as a Slinger/Signaller ➤ CSCS Touchscreen Training & Test 	<p>Initial barriers to employment addressed</p> <ul style="list-style-type: none"> • Understanding of needs of industry and commitment to progression • Clear understanding of civil engineering • Passed the CITB Health safety and environment (HSE) test • Completed Application for CSCS Provisional Card • Initial Interview/Job Match 	<p>£1,057</p> <p>Includes: CSCS Test £100</p>
Phase 2 (Small) Construction Gateway Small Plant - 4 wk programme	<p>Trade certification and prep for job application including a range of optional units (but not limited to):</p> <ul style="list-style-type: none"> ➤ Construction Health & Safety - Equipment ➤ CSCS Touchscreen Training & Test ➤ Manual Handling ➤ Abrasive Wheels ➤ NRSWA ➤ C.A.T. & Genny ➤ Asbestos Awareness ➤ First Aid at Work ➤ Confined Spaces ➤ Job Interview Coaching ➤ Job Interview with a local employer <p>Plus 5 days learning on either of the following units:</p>	<ul style="list-style-type: none"> • Trade certifications in response to employer needs • Passed CPCS Theory Test • Application for CPCS Trained Operator Red Card: <ul style="list-style-type: none"> ➤ Forward Tipping Dumper <p>OR</p> <ul style="list-style-type: none"> ➤ Road on Roller <ul style="list-style-type: none"> • Initial Interview/Job Match 	<p>£1,668</p> <p>Includes: CSCS Test £100 CPCS Test £425</p>

	<ul style="list-style-type: none"> ➤ Prepare and operate a forward tipping dumper to receive and transport loads - wheeled or tracked ➤ Prepare and Operate a Ride on Roller 		*Reduce RPL when identified e.g. CSCS card holder
Phase 2 (Large) Construction Gateway Large Plant - 4 wk programme	<p>Trade certification and prep for job application including a range of optional units:</p> <ul style="list-style-type: none"> ➤ Construction Health & Safety - Equipment ➤ CSCS Touchscreen Training & Test ➤ Manual Handling ➤ Abrasive Wheels ➤ NRSWA ➤ C.A.T. & Genny ➤ Asbestos Awareness ➤ First Aid at Work ➤ Confined Spaces ➤ Job Interview Coaching ➤ Job Interview with a local employer <p>Plus 5 days learning on either of the following units:</p> <ul style="list-style-type: none"> ➤ Bulldozer ➤ High Deamer ➤ Telehandler ➤ Muncher ➤ Articulated Dumber Truck ➤ 360° Excavator ➤ Tractor Units 	<ul style="list-style-type: none"> • Trade certifications in response to employer needs • Passed CPCS Theory Test • Application for CPCS Trained Operator Red Card: <ul style="list-style-type: none"> ➤ Bulldozer ➤ High Deamer ➤ Telehandler ➤ Muncher ➤ Articulated Dumber Truck ➤ 360° Excavator ➤ Tractor Units • Initial Interview/Job Match 	<p>£1,823</p> <p>Includes: CSCS Test £100 CPCS Test £425</p> <p>*Reduce RPL when identified e.g. CSCS or CPCS secured through phase 2 small plant.</p>
Phase 3: Work Trial - 2-week programme (Claimed as only once as either an episode of work placement in phase 1 or phase 2)	<p>Up to 2 weeks placement or work trial with the sponsoring employer:</p> <ul style="list-style-type: none"> • On site practice in a simulated/controlled environment to demonstrate construction plant job readiness 	<ul style="list-style-type: none"> • Job interview • Fixed term employment • Employment agency contract 	£108
Phase 4: Upskilling Sustained Employment - up to 52-week programme	<p>Day 1 notification of employment 13-week confirmation of sustained employment</p> <p>Delivery of the VQ components to enable the learner to apply for the CPCS Competent Operator Blue Card including 2 mandatory units:</p> <ul style="list-style-type: none"> • Conforming to General Health, Safety and Welfare in the Workplace • Preparing and operating 	<ul style="list-style-type: none"> • Permanent employment • Sustained employment • Increased productivity • VQ units to achieve Blue card competent worker 	<p>Job Outcome Day 1: £150</p> <p>Job Outcome Week 13: £150</p> <p>CPCS Blue Card: £150</p>

	<p>forward tipping dumpers to receive, transport and discharge materials in the Workplace</p> <p>OR</p> <ul style="list-style-type: none">• Preparing and operating ride-on rollers to compact materials in the workplace		
--	---	--	--

Annex Eleven - Specification: Sector Based Work Academies (SBWA) and Sector Gateway (SG)

308. Unemployment in the WM was high compared to national average prior to the pandemic but now the numbers have increased significantly.
309. Despite an investment of £70m of AEB funding to support unemployed residents' and specific funded for SBWA positive destinations into employment were significantly below contracted volumes. Our focus therefore is to ensure that the provision we fund enables individuals to move on and secure employment.
310. We have found significant volumes of employability delivered through separate episodes of learning and not embedded as part of occupationally focused training. Too often we are seeing level 1 provision focused on employability-based training where the course value varies from £257 to £2,300, often this course delivery is generic and is the only episode undertaken by the resident. As a consequence, reported progression rates are exceptionally poor into either further learning and/or work.
311. The second West Midlands Devolution Deal committed the WMCA to working with DWP to create an Employment Support Framework, predicated on evidence of what works, which maps national, regional and local support against the 7 key stages of employment support:



The Offer

312. We want to establish occupational skills development to move individuals into jobs quickly through SBWA/SG. Once in work we want to see that support continue through an in-work progression offer either through entitlement listed qualifications at level 2/3 or apprenticeships. This is to enable individuals to progress to better paid work whilst achieving valuable qualifications to underpin progression.
313. In many cases we expect SBWA/SG to be a non-regulated offer to provide flexibility to the provider in delivering what's required as opposed to a set of qualifications that provide a rigid framework to delivery.
314. The following sets out our definitions for SBWA and SG and the mandatory elements we expect to see in these offers:

315. Sector Based Work Academies (SBWA) are a JCP+ branded programme and can last up to 6 weeks in length. In SBWA we expect that employers are consulted in its design and guaranteed job interview is available to the resident at the end of the programme. Mandatory elements are as follows:
- Work collaboratively with JCP+ to support identified residents into work
 - Occupational specific training related to the job opportunity both regulated and non-regulated. Employability only supported by 30 GLH non-regulated offer.
 - Relevant work experience related to the job (supported by a flexibility by the WMCA)
 - Job interview at the end of the programme
 - Last no more than 6 weeks
316. Sector Gateway (SG) is short and sharp training bespoke to roles across a range of industries. These programmes are designed to focus on the key skills required to secure the job role and should be aligned to job vacancies. We have already designed a range of SG programmes and these can be found later in this document with the associated GLH and funding rate. Mandatory elements:
- Collaboration with JCP+ and/or National Careers Service
 - Occupationally specific non-regulated training
 - Job interview at the end of the programme
- +
317. Work experience is an optional element of a SG programme to support individuals into work.
318. We will also apply a flexibility related to work experience where we will pay for a placement activity or licence to practice in both SBWA and SG. This is in with the flexibility we first introduced in 2019/20. In addition, we accept that employability training does have a part to play in work readiness. We will enable providers to develop a non-regulated employability offer through one episode of learning aligned to an occupationally specific SBWA or SG, this will be capped to a maximum of £150.
319. We also want to support movement into work and will incentivise providers to secure employment payable on the 13th week of employment. To reflect our priorities to support young people into work aged 19-23 we will pay a job outcome payment of £400, and for other unemployed we will pay £250. These incentives are only applicable to those residents participating on SBWA/SG programmes.
320. For SBWA/SG performance we will set a benchmark based on sustainable employment at the 13-weeks:
- SBWA: 65% of all starts
 - SG: 50% of all starts

Courses

321. Providers can develop SBWA programmes in line with what is set out earlier but must be occupationally specific.
322. Where a SG programme is in place our expectation is that this is delivered to move individuals into work quickly. SG programmes developed so far include:
 - Care Worker
 - Employability (to be embedded within SBWA/SG delivery)
 - Logistics (drivers)
 - Retail/Customer Service
 - Security
 - Warehousing

SG: Care Worker

Purpose

The purpose of this proposal is to develop a specification for those wishing to train/upskill/change career and wishing to work in Social Care. The specification focusses on a non-accredited approach to training, specific to the industry and focusing on knowledge and skills required.

Adult Care Workers are the frontline staff who help adults with care and support needs to achieve their personal goals and live as independently and safely as possible, enabling them to have control and choice in their lives.¹

Specification Proposal

Preparing to work in Social Care

- Foundation literacy/numeracy.
- Digital skills (Email, using search engines).

Communication

- Face to face communication with individuals and their families.
- Telephone communication with individuals and their families.
- Working as part of a team.

Skills

- Ability to follow codes of practice.
- Support individuals in line with their plan of care.
- Protect individuals from harm.
- Promote healthy eating and wellbeing.
- Use risk assessments to support individuals safely.
- Reflect on own working practices.

Personal attributes

- Approachable.
- Friendly.
- Confident.
- Integrity.

Knowledge

¹ <https://www.instituteforapprenticeships.org/apprenticeship-standards/adult-care-worker/>

- Codes of practice.
- Legislation.
- Equality and diversity.
- Respect and dignity.
- Differing methods of communication.
- Safeguarding.

Outcomes

Residents will be able to (skills):

- Demonstrate a range of foundation literacy and numeracy skills as determined by the social care sector.
- Use basic digital literacy as required for the social care sector.
- Practise a range of communication methods required for the social care sector.
- Demonstrate team working.
- Describe actions to take in order to protect individuals from harm.
- Evidence the formulation of a risk assessment.
- Describe methods of reflecting on own working practice.

Residents will know (knowledge):

- Describe codes of practice used in the social care sector.
- Identify relevant legislation that covers the social care sector.
- Recognise equality and diversity and how to promote this.
- Explain respect and dignity and the importance of these.
- Describe different methods of communication.
- Identify signs and symptoms of different types of abuse.

Residents will be self-aware and develop themselves personally to demonstrate (behaviours):

- A friendly approach showing empathy and understanding.
- Honesty.
- Confidence.
- Excellent work ethics (good attendance, timekeeping).

Guided learning hours: 30 (Weighting B)

Funding rate: £168

SG: Employability

Purpose

The purpose of this proposal is to develop a specification for those wishing to train/upskill/change career and wishing to work. The specification focusses on a non-accredited approach to basic training, focussing on knowledge and skills required.

*Employability refers to your ability to gain initial employment, maintain employment, and obtain new employment if required. In simple terms, employability is about being capable of getting and keeping fulfilling work.*²

Specification Proposal

Preparing to work

- Foundation literacy/numeracy.
- Digital skills (Email, using search engines).

Communication

- Communicating with others at work.
- Customer service.
- Working as part of a team.

Skills

- Using varying methods to explore careers.
- Create a CV.
- Applying for a job.
- Maintaining work standards.

Personal attributes

- Approachable.
- Friendly.
- Confident.
- Integrity.
- Resilience.

Knowledge

- Basic legislation.
-

² <http://www.mycit.ie/contentfiles/careers/what%20is%20employability.pdf>

- Equality and diversity.
- How to be successful in applying for jobs.

Outcomes

Residents will be able to (skills):

- Demonstrate a range of foundation literacy and numeracy skills needed to be employable.
- Use basic digital literacy as required for work.
- Practise a range of communication methods required for work.
- Demonstrate team working.
- Evidence basic CV writing.
- Explain the process of applying for work.

Residents will know (knowledge):

- Explain how to be successful when applying for work.
- Identify relevant legislation that covers the workplace.
- Recognise equality and diversity and how to promote this.

Residents will be self-aware and develop themselves personally to demonstrate (behaviours):

- A friendly approach showing empathy and understanding.
- Honesty.
- Confidence.
- Excellent work ethics (good attendance, timekeeping).
- Resilience.

Guided learning hours: 30 (Weighting A)

Funding rate: £150

SG: Logistics

Purpose

The purpose of this proposal is to develop a specification for those wishing to train/upskill/change career and wishing to work in the Logistics industry. The specification focusses on a non-accredited approach to training, specific to the industry and focussing on knowledge and skills required.

Crucial to the supply chain of any business, logistics involves the timely delivery of freight and goods from one place to another, as well as the unloading and unpacking of this cargo. Logistics workers may perform duties including inventory control, pricing and ticketing, and merchandise assembly.³

Specification Proposal

Preparing to work in Logistics

- Foundation literacy/numeracy.
- Digital skills (Email, using search engines).

Communication

- Building relationships with customers.
- Building relationships with colleagues.
- Working as part of a team.

Logistics skills

- Preparing the vehicle for driving.
- Protect the vehicle and the load.
- Pick goods.
- Place goods in storage.

Personal attributes

- Approachable.
- Friendly.
- Confident.
- Integrity.

Knowledge

- Legislation in a logistics environment.
- Equality and diversity.

³ https://study.com/articles/Logistics_Careers_Job_Duties_Employment_and_Salary_Information.html

- Moving and handling goods.

Outcomes

Residents will be able to (skills):

- Demonstrate a range of foundation literacy and numeracy skills as determined by the logistics sector.
- Use basic digital literacy as required for the logistics sector.
- Practise a range of communication methods required for the logistics sector.
- Demonstrate team working.
- Evidence the picking and placing of goods in a logistics environment.

Residents will know (knowledge):

- Identify relevant legislation that covers the logistics sector.
- Recognise equality and diversity and how to promote this.
- Explain the correct ways of moving and handling goods.

Residents will be self-aware and develop themselves personally to demonstrate (behaviours):

- A friendly approach.
- Honesty.
- Confidence.
- Excellent work ethics (good attendance, timekeeping).

Guided Learning Hours: 30 (Weighting A)

Funding rate: £150

SG: Retail and Customer Service

Purpose

The purpose of this proposal is to develop a specification for those wishing to train/upskill/change career and wishing to work in the Retail/Customer Service industry. The specification focusses on a non-accredited approach to training, specific to the industry and focussing on knowledge and skills required.

The main purpose of a retailer is to assist customers when they purchase products and services, which requires a good understanding of the stock being sold, the variety of ways customers can shop and the ability to process payments, for example, using a till. Retailers must be passionate about delivering a quality service that always aims to exceed customers' expectations.⁴

Specification Proposal

Preparing to work in Retail/Customer Service

- Foundation literacy/numeracy.
- Digital skills (Email, using search engines).

Communication

- Face to face communication with customers.
- Telephone communication with customers.
- Working as part of a team.

Retail Skills

- Merchandising.
- Using technology (till systems, digital tools).
- Stock control.

Personal attributes

- Approachable.
- Friendly.
- Confident.
- Integrity.
- Going the 'extra mile'.

Knowledge

- Product knowledge.

⁴ <https://www.instituteforapprenticeships.org/apprenticeship-standards/retailer/>

- Legislation.
- Equality and diversity.

Outcomes

Residents will be able to (skills):

- Demonstrate a range of foundation literacy and numeracy skills as determined by the retail/customer service sector.
- Use basic digital literacy as required for the retail/customer service sector.
- Practise a range of communication methods required for the retail/customer service sector.
- Demonstrate team working.
- Evidence basic merchandising and stock control.
- Explain the use of technology required in the retail/customer service sector.

Residents will know (knowledge):

- Explain how to learn about the products they are selling.
- Identify relevant legislation that covers the retail/customer service sector.
- Recognise equality and diversity and how to promote this.

Residents will be self-aware and develop themselves personally to demonstrate (behaviours):

- A friendly approach showing empathy and understanding.
- A 'nothing is too much trouble' approach to customers.
- Honesty.
- Confidence.
- Excellent work ethics (good attendance, timekeeping).

Guided learning hours: 30 (Weighting B)

Funding rate: £168

SG: Security

Purpose

The purpose of this proposal is to develop a specification for those wishing to train/upskill/change career and wishing to work in the Security Services industry. The specification focusses on a non-accredited approach to training, specific to the industry and focusing on knowledge and skills required.

Security work is a field that will never go away. With all the potential threats in today's society more and more businesses are in need of help protecting their property, assets and people. If you're interested in safety and security, this could be the perfect job for you. Almost every form of business utilizes some form of security including but not limited to: local businesses, hospitals, banks, bars, airports, shops, care homes, private security firms and even nuclear power plants often hire security guards to help protect their property and detect illegal activities.⁵

Specification Proposal

Preparing to work in Security Services

- Foundation literacy/numeracy.
- Digital skills (Email, using search engines).

Communication

- Building relationships with customers.
- Building relationships with colleagues.
- Working as part of a team.
- Resolving problems

Security Services skills

- Digital skills required for the security services industry (cctv footage e.g)
- Contributing to meetings.

Personal attributes

- Approachable.
 - Friendly.
 - Confident.
-

⁵ www.telfordcollege.ac.uk

- Integrity.

Knowledge

- Legislation in a security services environment.
- Security and loss prevention.
- Differing roles within the security services industry (door supervisor, cctv operator e.g)
- Equality and diversity.
- Terrorism awareness.

Outcomes

Residents will be able to (skills):

- Demonstrate a range of foundation literacy and numeracy skills as determined by the security services sector.
- Use basic digital literacy as required for the security services sector.
- Practise a range of communication methods required for the security services sector.
- Demonstrate team working.
- Evidence the ability to problem solve.

Residents will know (knowledge):

- Identify relevant legislation that covers the security services sector.
- Recognise equality and diversity and how to promote this.
- Explain terrorism and procedures to follow.

Residents will be self-aware and develop themselves personally to demonstrate (behaviours):

- A friendly approach.
- Honesty.
- Confidence.
- Excellent work ethics (good attendance, timekeeping).

Guided Learning Hours: 30 (Weighting A)

Funding rate: £150

SG: Warehousing

Purpose

The purpose of this proposal is to develop a specification for those wishing to train/upskill/change career and wishing to work in the Warehousing industry. The specification focusses on a non-accredited approach to training, specific to the industry and focussing on knowledge and skills required.

Warehouse workers are responsible for preparing and completing warehouse orders for delivery or pickup according to schedule. Receiving and processing warehouse stock products and performing warehouse inventory controls and keeping quality standards high for audits. ⁶

Specification Proposal

Preparing to work in Warehousing

- Foundation literacy/numeracy.
- Digital skills (Email, using search engines).

Communication

- Building relationships with customers.
- Building relationships with colleagues.
- Working as part of a team.
- Resolving problems

Warehousing skills

- Picking orders.
- Wrap and pack goods.
- Maintaining cleanliness in the working environment.
- Receive goods.

Personal attributes

- Approachable.
- Friendly.
- Confident.
- Integrity.

Knowledge

⁶ <https://resources.workable.com/warehouse-worker-job-description>

- Legislation in a warehousing environment.
- Equality and diversity.
- Moving and handling goods.

Outcomes

Residents will be able to (skills):

- Demonstrate a range of foundation literacy and numeracy skills as determined by the warehousing sector.
- Use basic digital literacy as required for the warehousing sector.
- Practise a range of communication methods required for the warehousing sector.
- Demonstrate team working.
- Evidence the wrapping packing and receipt of goods in a warehousing environment.

Residents will know (knowledge):

- Identify relevant legislation that covers the warehousing sector.
- Recognise equality and diversity and how to promote this.
- Explain correct ways of moving and handling goods.

Residents will be self-aware and develop themselves personally to demonstrate (behaviours):

- A friendly approach.
- Honesty.
- Confidence.
- Excellent work ethics (good attendance, timekeeping).

Guided Learning Hours: 30 (Weighting A)

Funding rate: £150

Annex Twelve - Specification: Level 1

323. Level 1 provision plays an important role for those individuals who need to develop skills and knowledge required to find work, this can be defined as either personal learning to support motivation, essential skills for work readiness and vocationally specific occupationally related training.
324. Too often we are seeing level 1 provision focused on employability-based training where the course value varies from £257 to £2,300, often this course delivery is generic and is the only episode of learning undertaken by the resident. As a consequence, reported progression rates are exceptionally poor into either further learning and/or work.
325. Whilst we understand the role of employability training to secure employment, we don't accept that individuals require proof of employability through a generic qualification at level 1. There are a range of resources available free from the National Careers Services which is duplicated through courses funded through AEB under the umbrella of employability.
326. Therefore, our focus is to ensure that what we fund at level 1 outside of the English, maths, ESOL and Digital Skills is occupationally specific.

The Offer

327. Our intent is to fund an adult offer that enable residents to develop skills and knowledge to move on into further learning or work. Level 1 provision should provide that bridge to develop further learning at level 2 or secure employment through occupationally related training either through sector-based work academy provision or pre-employment training.
328. We expect to see the majority of level 1 provision aligned to sector-based work academy provision of pre-employment training to support individuals into work. In supporting individuals in making these choices we also anticipate seeing occupationally specific vocational training.
329. We accept that employability training does have a part to play in work readiness. We will enable providers to develop a non-regulated employability offer through one episode of learning aligned to an occupationally specific sector-based work academy or pre-employment training programme, this will be capped to a maximum of £150.
330. Providers should also ensure that services offered to residents by either the Department for Work & Pensions e.g. work coaches and National Careers Services are not duplicated through delivery.
331. We do not expect to see employed workers undertaking occupational vocational training at level 1.

Role of providers

332. We see community learning providers playing an exclusive role in putting in place provision to support personal development. We also see community learning providing vocational tasters to support individuals into work.
333. Where community learning providers have formula funded delivery, we also expect to see occupationally related training either through sector-based work academy provision or pre-employment training to support residents into work.
334. To support individuals into work, we also expect to see our colleges and ITP's developing occupationally related training either through sector-based work academy provision or pre-employment training.

Courses

335. The below sets out the courses that we will invest in for level 1 provision. Courses highlighted in orange are construction based which we expect to transfer into construction gateway provision.

Course Title
SSA 1 - Health, Public Services and Care
Award in an Introduction to Early Year's Settings (QCF)
Award in Caring for Children
Award in Caring for Children (QCF)
Award in Health and Safety
Award in Health and Safety Awareness (QCF)
Award in Introduction to Health, Social Care and Children's and Young People's Settings
Award in Introduction to Health, Social Care and Children's and Young People's Settings (QCF)
Award in Preparing to Work in Adult Social Care
Award in Preparing to Work in Adult Social Care (QCF)
Award in Safeguarding in a Learning Environment
BTEC Certificate in Caring for Children
BTEC Certificate in Health and Social Care
BTEC Diploma in Health and Social Care
BTEC Diploma in Public Services
BTEC Introductory Certificate in Health and Social Care
BTEC Introductory Diploma in Health and Social Care
BTEC Introductory Diploma in Public Services

Certificate in Caring for Children (QCF)
Certificate in Introduction to Health, Social Care and Children's and Young People's Settings
Certificate in Introduction to Health, Social Care and Children's and Young People's Settings (QCF)
Diploma in Caring for Children (QCF)
Diploma in Introduction to Health, Social Care and Children's and Young People's Settings (QCF)
Extended Award in Skills for Working in Child Care Industries
SSA 2 - Science and Mathematics
Diploma in Applied Science
SSA 3 - Agriculture, Horticulture and Animal Care
Award in Practical Horticulture Skills
Certificate in Practical Horticulture Skills
Certificate in Practical Small Animal Care Skills
Certificate in Work-Based Animal Care
Diploma in Land-based Studies
Diploma in Practical Horticulture Skills
Diploma in Work-Based Environmental Conservation
SSA 4 - Engineering and Manufacturing Technologies
Award in Introductory Manual Metal Arc (MMA) Welding
Award in Introductory Metal Inert Gas (MIG) Welding
Award in Introductory Tungsten Inert Gas (TIG) Welding
Award in Parametric Modelling
Award in Transport Maintenance
Certificate in Engineering
Certificate in Exploring the Aviation Industry
Diploma in Accident Repair Body
Diploma in Engineering
Diploma in Furniture Occupations (QCF)
Diploma in Transport Maintenance
Diploma in Vehicle Maintenance
Diploma in Vehicle Systems Maintenance
NVQ Certificate in Performing Engineering Operations
SSA 5 - Construction, Planning and the Built Environment
Award in Construction Skills

Award in Construction Skills (Electrical)
Award in Construction Skills (Painting and Decorating)
BTEC Diploma in Construction
Certificate in Construction Skills
Certificate in Construction Skills (Bricklaying)
Certificate in Construction Skills (Carpentry and Joinery)
Certificate in Construction Skills (Electrical)
Certificate in Construction skills (Plastering)
Certificate in Construction Skills (Plumbing)
Certificate in Multitrade Construction Activities
Diploma in Bricklaying
Diploma in Bricklaying (Construction)
Diploma in Carpentry and Joinery
Diploma in Construction Skills
Diploma in Electrical Installation
Diploma in Painting and Decorating
Diploma in Painting and Decorating (Construction)
Diploma in Plastering
Diploma in Plumbing Studies
Diploma In Wall and Floor Tiling
Extended Award in Skills for Working in Construction and Building Industries
Extended Certificate in Construction Skills
SSA 6 - Information and Communication Technology
NOTE DIGITAL ENTITLEMENT SPECIFICATION
SSA 7: Retail and Commercial Enterprise
Award in Introduction to Employment in Retail (RQF)
Award in Practical Cleaning Skills (bodily fluids, spillages and hazardous items) (QCF)
Award in Practical Cleaning Skills (Clean and dispose of bodily fluids, spillages and hazardous items)
Award in Practical Cleaning Skills (dry sweep and damp mop floors) (QCF)
Award in Practical Cleaning Skills (washrooms) (QCF)
Award in Retail Knowledge
BTEC Certificate in Introduction to the Hospitality Industry
BTEC Introductory Diploma in Hospitality and Tourism

Certificate in an Introduction to the Hair and Beauty Sector
Certificate in Cleaning and Support Services skills
Certificate in Introduction to Culinary Skills
Certificate in Introduction to Professional Food and Beverage Service Skills
Certificate in Introduction to the Facilities Industry
Certificate in Introduction to the Hospitality Industry
Certificate for Skills for Working in the Retail Industry
Certificate in Practical Cleaning Skills
Diploma in an Introduction to the Hair and Beauty Sector
Diploma in Hairdressing
Diploma in Introduction to Professional Cookery
Diploma in Introduction to the Hospitality Industry
NVQ Certificate in Beauty Therapy
NVQ Certificate in Food and Beverage Service
NVQ Certificate in Food preparation and Cooking (QCF)
NVQ Certificate in Hairdressing and Barbering
NVQ Diploma in Hairdressing and Beauty Therapy
SSA 8 - Leisure, Travel and Tourism
Award in Assisting Health Related Activity Sessions
Award in Coaching Football
BTEC Certificate in Sport and Active Leisure
BTEC Diploma in Sport and Active Leisure
BTEC Introductory Diploma in Sport
Diploma in Introduction to the Travel and Tourism Industry
Diploma in Sport and Active Leisure (QCF)
BTEC Diploma in Travel and Tourism
SSA 9 - Arts, Media and Publishing
Award in Art, Design and Media
Award in Creative Craft (QCF)
Award in Music, Performing and Production Arts
BTEC Certificate in Art and Design
BTEC Certificate in Performing Arts
BTEC Diploma in Art and Design

BTEC Diploma in Performing Arts
Certificate in Creative Media Production
Diploma in Art, Design and Media
Diploma in Creative Media Production
Diploma in Music, Performing & Production Arts
Extended Certificate in Making it in Fashion (QCF)
SSA 12 - Languages, Literature and Culture
Award in British Sign Language (RQF)
Award in British Sign Language Studies (QCF)
Award in Understanding Community Interpreting
Communicate in BSL about Everyday Life
Conversational BSL
Introduction to BSL
SSA 13 - Education and Training
Award in Preparing to Work in Schools
SSA 14 - Preparation for Life and Work
SEE SEPARATE ENGLISH, MATH's & ESOL SPECIFICATION
Non regulated SFA formula funded provision, level 1 EMPLOYABILITY £150
SSA 15 - Business, Administration and Law
Access Award in Accounting Software
Access Award in Bookkeeping
Access Award in Business Skills
Award for Introduction to Customer Service
Award for Trade Union Health and Safety Representatives
Award for Trade Union Representatives
Award in Administration (Business Professional)
Award in Book-Keeping and Accounts
Award in Business Administration
Award in Computerised Accounting for Business (RQF)
Award in Computerised Accounts
Award in Computerised Payroll for Business (RQF)
Award in Customer Service
Award in Customer Service (RQF)

Award in Principles of Customer Service (QCF)
Award in Trade Unions Today
Award in Understanding Enterprise (QCF)
BTEC Award in Business Administration
BTEC Certificate in Business Administration
BTEC Diploma in Business Administration
BTEC Introductory Diploma in Business
Certificate for Introduction to Customer Service
Certificate for Trade Union Health and Safety Representatives
Certificate for Trade Union Representatives (Stage 1)
Certificate in Administration (Business Professional)
Certificate In Business Administration (RQF)
Certificate in Customer Service (QCF)
Diploma in Business Support Services
Extended Award in Skills for Working in Business, Administration and Customer Service Industries

Annex Thirteen - Specification: Level 2

336. The WMCA values provision at level 2 in providing individuals the opportunity to develop core occupational skills, in addition it provides the opportunity for progression to level 3 technical qualifications which are key to support productivity and the growth of the economy. We will focus on ensuring that provision funded at level 2 enables progression to further learning and provides the opportunity to move to better paid jobs.
337. [This specification excludes English, Maths, ESOL and Digital skills which fall under a separate specification.]
338. We want to establish an adult offer at level 2 to develop core occupational skills to enable residents to progress to higher skills. Therefore, progression to level 3 should be considered in developing an adult offer for level 2, and it should be clear to residents where they will move onto next following successful completion of this learning whether that is with the same provider or another provider.
339. We have found that a proportion of level 2 provision we do fund is spent on low-level generic courses delivered at scale with very little progression into either further study, into work or increased pay.
340. In addition, we have also seen qualifications developed that in many cases accredit skills that individuals already have through working practice, and not focused on broader core skill development to enable progression. Traditionally, these courses have been aligned to occupations where there are significant volumes of entry level job roles, often in low pay settings and can be delivered quickly at scale.
341. To ensure that we are focussing our funding on the qualifications that give residents the best chance of progression we will continue to fund courses at published rates where these are either listed as entitlement qualifications or appear in our focus sectors at level 2. For all qualifications that fall outside of the entitlement list or focus sectors we will not grow low the volume of this provision.

Provider roles in delivery

342. Community Learning plays a key role in preparing residents for study at Level 2. Progression arrangements should be established in local areas to support progression of level 1 residents to level 2 provision.
343. For those community learning providers who have access to formula funded provision there should be a clear delineation between level 2 occupationally specific learning, and the personal learning development provision delivered at entry level and level 1. Residents should see the difference and be clear on the value of progression to higher levels.
344. Colleges and ITPs delivering Level 2 learning should establish pathways into learning from other providers.

Outcomes

345. We expect to see an increase in participation at level 2 in course areas that add value through up-skilling and progression. In addition, we anticipate that we will see more progression into level 3. We also expect to see the reduction in low value qualifications that are delivered at scale with little progression or economic return to residents.

Courses

346. We will fund all courses as part of the entitlement at level 2 for 19-23 year olds listed here.

347. Trade Unions studies provision is deemed as a priority and falls under SSA 15.3.

Annex Fourteen - Specification: Level 3

348. It is key that we build the right skills in our workforce to deliver improved productivity and prosperity - enabling all groups to access jobs. While qualifications levels are improving, significant shortfalls remain at level 3 impacting on productivity, competitiveness and inward investment which hold back growth of the regional economy. In addition, low skills also impact on earnings and household income for residents in securing sustainable employment in higher skilled job roles.
349. At present the offer of level 3 courses across all provider types is not sufficient to meet the skills demands of the economy with too few places offered and a lack of availability to access the learning flexibly.
350. In 2019/20 approximately £5m is projected to be spent on level 3 delivery representing 4% of the overall AEB budget, this is 1% up on 2018/19. However, we often see low priority provision offering little in terms of upskilling at the expense of what could be delivered at level 3. It is also apparent that where some providers committed to deliver to level 3 through planned activity, this has not materialised, and funds have been spent at lower levels at scale to meet allocation.
351. Moving forward our approach will be firmer to ensure that we have the capacity to meet the needs of our residents against our priorities and entitlement qualifications. To prevent AEB funding committed to level 3 being spent at other levels the funding line for this provision will be ringfenced within allocations based on the agreed delivery plan at provider level. Failure to meet level 3 plans will impact on future growth levels across all investment lines.
352. For 2020/21 we will continue testing of partial or full funding of some Level 3 qualifications where they support progression in work and/or career changes. During 2019/20, WMCA introduced funding flexibilities to test the impact of partly or fully subsidising level 3 qualifications, in key sectors, to encourage more individuals to access this provision.

The Offer

353. We are clear that we want to establish an adult offer at level 3 to meet our regional skills plan priorities. We expect to see entitlement qualifications and our priorities reflected in course portfolios at level 3 and will continue to use our funding flexibilities to support residents. These flexibilities include the use of funding subsidies similar to those tested in the Career Learning Pilots – tested by DfE in 18/19 where subsidies of 25%, 50% or 75% were offered.
354. We are also keen to explore providers putting together an adult offer of learning at Level 3 where qualifications don't exist e.g. new emerging sectors to meet the needs of residents. This can be used following an activity matrix based on delivery of GLH (funding band hours).

355. We want an offer that people can access independent of their employer similar to the old 'night school' concept but offered in flexible ways – modes, times and locations. It's also important to us that individuals are clear on what they can move onto and progress to following successful completion of their learning, whether that is with the same provider or another provider at level 4 and above.

Courses

356. We will fund all courses as part of the entitlement for first level 3 for 19-23 year olds listed here.
357. We will also welcome flexibility requests to support individuals who fall outside of the entitlement for level 3 for courses that fall under our priorities.

Annex Fifteen - Specification: Level 4+

358. There are 825,500 people qualified to NVQ Level 4 in the WMCA area. This is an increase of 3.4% on the previous year or 27,200 people, comparable to the national growth rate of 2.3%. Longer term, since 2012 the WMCA area has also performed better than the national average with an increase in the number of people with higher level skills by 147,900 (21.8%) compared to 17.2% for the UK.
359. Despite this positive trend, just 32.1% of the population are qualified to NVQ Level 4 compared to 39.2% for the UK - a shortfall of 181,538 people. Qualifications are key to progression, with people qualified to NVQ4+ estimated to earn significantly more than those with lower qualifications.
360. While qualifications levels are improving, these shortfalls remain at level 4+ impact on productivity, competitiveness and inward investment which hold back growth of the regional economy. In addition, low skills also impact on earnings and household income for residents in securing sustainable employment in higher skilled job roles.
361. At present the WMCA has not funded any non-prescribed higher-level course at level 4 but through its recent procurement round has secured a small amount of provision to be delivered in 2020/21. It wants to extend the opportunity for current providers to develop level 4 and above provision funded through AEB. Whilst in 2020/21 we will test activity at this level we do anticipate further growth in 2021/22 and beyond.

The Offer

362. Provision at level 4+ will be developed exclusively in our priorities as set out in the WMCA Local Industrial Strategy (LIS). We consider either full or unitised delivery against published courses and use subsidies similar to those tested in the Career Learning Pilots – tested by DfE in 18/19 where subsidies of 25%, 50% or 75% were offered.
363. We are also keen to explore providers putting together an adult offer of learning at Level 4 where qualifications don't exist e.g. new emerging sectors to meet the needs of residents. This can be used following an activity matrix based on delivery of GLH (funding band hours).
364. We want an offer that people can access independent of their employer similar to the old 'night school' concept but offered in flexible ways – modes, times and locations. It's also important to us that individuals are clear on what they can move onto and progress to following successful completion of their learning.

Glossary

20+ childcare	A category of resident support to assist residents aged over the age of 20 who are at risk of not starting learning or leaving learning due to issues in obtaining childcare.
Adult funding methodology	The funding methodology for individuals aged 19 and over, participating in AEB learning. You can access adult funding methodology on the GOV.UK website.
Advanced resident loan	Advanced resident 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 resident loans give individuals access to financial support for tuition costs similar to that available in higher education and is administered by Student Finance England.
Break in learning	When a resident is not continuing with their learning but has told you beforehand that they intend to resume their learning in the future.
Care to learn	A Department for Education scheme to assist young parents under the age of 20 with the childcare costs that may form a barrier to them continuing in education.
Continuers	Residents who commenced learning in a previous funding year and remain in learning as of 1 August 2020.
Community Learning	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.
Components of regulated qualification	A subset of a qualification, which could be a unit.
Delivery Plan (WMCA)	All providers intending to deliver AEB to WMCA residents are required to submit a Delivery Plan to WMCA. This plan allows WMCA to appraise the provider in terms of suitability to deliver to WMCA residents. Providers can only delivery provision in line with the delivery plan.
Devolution of adult education functions	The devolution of adult education functions refers to the transfer of certain Secretary of State functions in the Apprenticeships, Skills, Children and Learning Act 2009 to specified Mayoral Combined Authorities by way of orders made under section 105A of the Local Democracy, Economic Development and Construction Act 2009, and the delegation of those functions to the Mayor of London under section 39A of the Greater London Authority Act 1999, in relation to their areas.

Digital Entitlement	<p>The study of EDS qualifications for learners who have digital skills assessed at below level 1. Qualifications that are designated up to and including level 1 are:</p> <ul style="list-style-type: none"> • Essential Digital Skills Qualifications
Direct costs of learning	<p>Any costs for items without which it would be impossible for the resident to complete their learning aim. This can include the costs of registration, examination or any other activities or materials without which the resident cannot achieve their programme of study.</p>
Earnings adjustment statement (EAS)	<p>The form providers need to fill in to claim funding for WMCA residents that cannot be claimed through the Individualised Resident Record.</p>
Education health and care (EHC) plan	<p>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, that is, to ensure that the provision is delivered.</p>
English for speakers of other languages (ESOL)	<p>The study of English by speakers of other languages.</p>
European social fund (ESF)	<p>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. The WMCA is a co-financing organisation for the ESF.</p>
Exceptional learning support	<p>Learning support funding to meet the costs of putting in place a reasonable adjustment for a resident who requires more than £19,000 in a funding year.</p>
Flexibilities	<p>The WMCA as part of its devolved powers can implement a range of funding flexibilities to support its priorities related to the movement of residents into work, upskilling those in low pay jobs and re-training. In agreeing flexibilities the WMCA will test the proposed impact.</p>
Full level 2	<p>The following qualifications are designated full at level 2:</p> <ul style="list-style-type: none"> • 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 2019 to 2020 16 to 19 performance tables
Full level 3	<p>The following qualifications are designated full at level 3:</p> <ul style="list-style-type: none"> • a General Certificate of Education at the advanced level in two subjects • a General Certificate of Education at the AS level in four subjects

	<ul style="list-style-type: none"> • a QAA Access to Higher Education (HE) Diploma at level 3 • a Tech level; or applied general qualification at level 3 which meets the requirements for 2019 16 to 19 performance tables
Full or co-funding	Indicates whether a learning aim is fully funded or co-funded
Functional skills	Applied practical skills in English, maths and ICT that provide the resident with the essential knowledge, skills and understanding to enable them to operate effectively and independently in life and work.
Funding agreement	The agreement between WMCA and providers who receive funding for education and skills training. This can be a Grant agreement or a contract.
Funding Model (10 and 35)	Identifies the funding methodology we apply to submission of finalised ILR data. For AEB funding, Funding Model 10 (Community Learning) and 35 (Adult Skills) are used, noting model 10 in 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.
Funding year	The WMCA adult funding system operates on a funding year basis, which starts on 1 August and finishes on 31 July.
General Data Protection Regulation	The General Data Protection Regulation (GDPR) is a, Europe-wide law that replaced the Data Protection Act 1998 in the UK. It is part of the wider package of reform to the data protection landscape that includes the Data Protection Act 2018. The GDPR sets out requirements for how organisations have to handle personal data.
Guided learning	As defined by Ofqual: “The activity of the resident 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.”
Hardship	Within resident support, a category of support to assist vulnerable and disadvantaged residents to remove barriers to education and training.
The ESFA Hub	The ESFA Hub provides online services including the return of your Individualised Resident Record and completed EAS. You can also search all learning aims, components of qualifications, apprenticeship frameworks and standards along with their validity and funding details.
Individualised resident record	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

(ILR)	that allocate funding for further education. In 2020/21, WMCA will continue to utilise the ESFA ILR to record all outputs for WMCA residents. All providers delivering WMCA AEB must complete all relevant ILR details and send this to the ESFA. The ESFA will then validate the provider's data and forward WMCA the ILR for WMCA residents.
Job outcome payments	Payments made for residents who are unemployed following SBWA/PET at the start of learning who progress into employment leading to a job outcome payment based on eligibility, payment based on 13 consecutive weeks with the same employer.
Job outcome payments 50% achievement	Payments made for residents who are unemployed at the start of learning who cease learning to take up a job.
Resident file	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 resident exists, is eligible for funding, the learning to be provided, and delivery.
Learning support	Funding to enable providers to put in place a reasonable adjustment, set out in the Equality Act 2010, for residents with an identified learning difficulty and/or disability to achieve their learning goal.
(Learner) Resident support	Funding to enable providers to support residents with a specific financial hardship that might prevent them from being able to start or complete their learning.
Learning or learning aims	Refers to all adult learning that the WMCA funds, whether it is a regulated qualification or other learning.
Learning aim reference number	The unique eight-digit code used to identify a specific learning aim.
Learning delivery monitoring (LDM)	A code used as part of the Individualised Learner Record (ILR) when the learner is expected to complete their learning
Learning planned end date	The date entered onto the individualised resident record (ILR) when the resident is expected to complete their learning.
Local flexibility	Regulated qualifications, and/or their components, and non-regulated learning that the WMCA 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 ESFA Hub .

Low wage	Low wage residents is a priority group of the WMCA. It uses the real living wage as the threshold of £18,135 (£9.30 per hour) to determine whether a employed individual is either full funded or co-funded.
Non-regulated learning	<p>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:</p> <ul style="list-style-type: none"> • independent living skills and engagement learning • employability and work skills • labour market re-entry • technical education tasters • community learning
Non-formula community learning funding	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. More information is available in the 2019 to 2020 ILR Specification .
Ofqual	The Office of Qualifications and Examinations Regulation, which regulates qualifications, examinations and assessments in England.
Personal learning record (PLR)	An ESFA database that allows individual residents access to their past and current achievement records. These can be shared with schools, colleges, further education training providers, universities or employers.
Performance Management Framework (WMCA)	A WMCA management framework detailing how providers will be managed and monitored form both a range of perspectives including quality performance (direct and subcontracted delivery) and earnings against profile.
Performance Management Points (WMCA)	Key points during the funding agreement when WMCA will review earnings against profile and apply a specification as detailed in this policy to ascertain if the provider is underperforming against their WMCA allocation.

Programmes	A coherent package of adult learning which may include regulated qualifications, components of regulated qualifications or non-regulated learning with clearly stated aims supporting agreed outcomes
‘Provision’ or ‘learning’ or ‘learning aims’	Refers to all adult learning that the WMCA funds, whether it is a regulated qualification or other learning.
Recognising and Recording Progress and Achievement (RARPA)	The Learning and Work Institute have undertaken a consultation on the RARPA Cycle and have published updated RARPA Guidance . This comprises a clear framework designed to support residents through the learning process, identifying key outcomes. It provides a robust approach to quality control and improvement of nonregulated 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 The Learning and Work Institute .
Recognition of prior learning (RPL)	An assessment method that considers whether a resident can demonstrate that they can: <ul style="list-style-type: none"> • meet the outcomes for a qualification or a component of a qualification through knowledge, understanding; or, • skills they already have and so do not need to undertake a course of learning for that component or qualification.
ESFA Register of training organisations (the Register)	A register that provides assurance on organisations that deliver non-apprenticeship education and training services funded by the ESFA, or supply chain delivery members with more than £50,000 in our non-apprenticeship supply chain. Organisations apply to enter the register by completing our market-entry pre-qualification process, which includes due diligence questions and testing of capacity and capability.
Relationship and Performance Officer (WMCA)	Every provider approved to deliver AEB to WMCA residents is assigned a Provider Relationship and Performance Officer to support the provider to monitor the quality of delivery and performance against allocation and the funding agreement.
‘Resident and ‘resident’	To cover those whose provision is funded by the WMCA.
Residential	Support provided under resident support to residents receiving specialist provision, which involves a residential element, or to support residents who cannot receive provision locally.

Regulated Qualifications Framework (RQF)	The RQF provides a way of understanding and describing the relative level and size of qualifications. The RQF, operated by Ofqual, is a single regulatory framework containing a range of general, technical and professional qualifications.
Senior responsible person	For example, chief executive, managing director, principal or their equivalent.
Self-declaration	A process where the resident can confirm something through his or her own signature.
Start of learning	The date on which learning begins. WMCA 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 residents to be fully funded who are aged: <ul style="list-style-type: none"> • 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
Study programme	Study programmes are for residents aged 16 to 19 and cover all levels up to level 3. Funding is for each resident, rather than for each qualification and can only have one core aim at a time.
Supply chain delivery member	A separate legal entity that has an agreement with you to deliver any element of the education and training WMCA 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. The term supply chain member will also apply to any partnership work you have where your staff and/or provision is managed by another partner/institution. The WMCA will consider this a type of supply chain delivery arrangement, and as such, will require all relevant detail on your Delivery Plan for approval and review at relevant Performance Meetings. This arrangement must also be identified in the ILR using the Partner UKPRN Field.
UK provider reference number	A unique identifying number given to all providers by the UK register of learning providers.

Unique resident number	A 10-digit number used to match a resident's achievement to their personal learning record (PLR).
WMCA	West Midlands Combined Authority
Young people's funding methodology	The ESFA's funding methodology for individuals aged 16 to 19 (and those aged 19 to 24 with an Education Health and Care plan). You can access the young people's funding methodology on the GOV.UK website.