



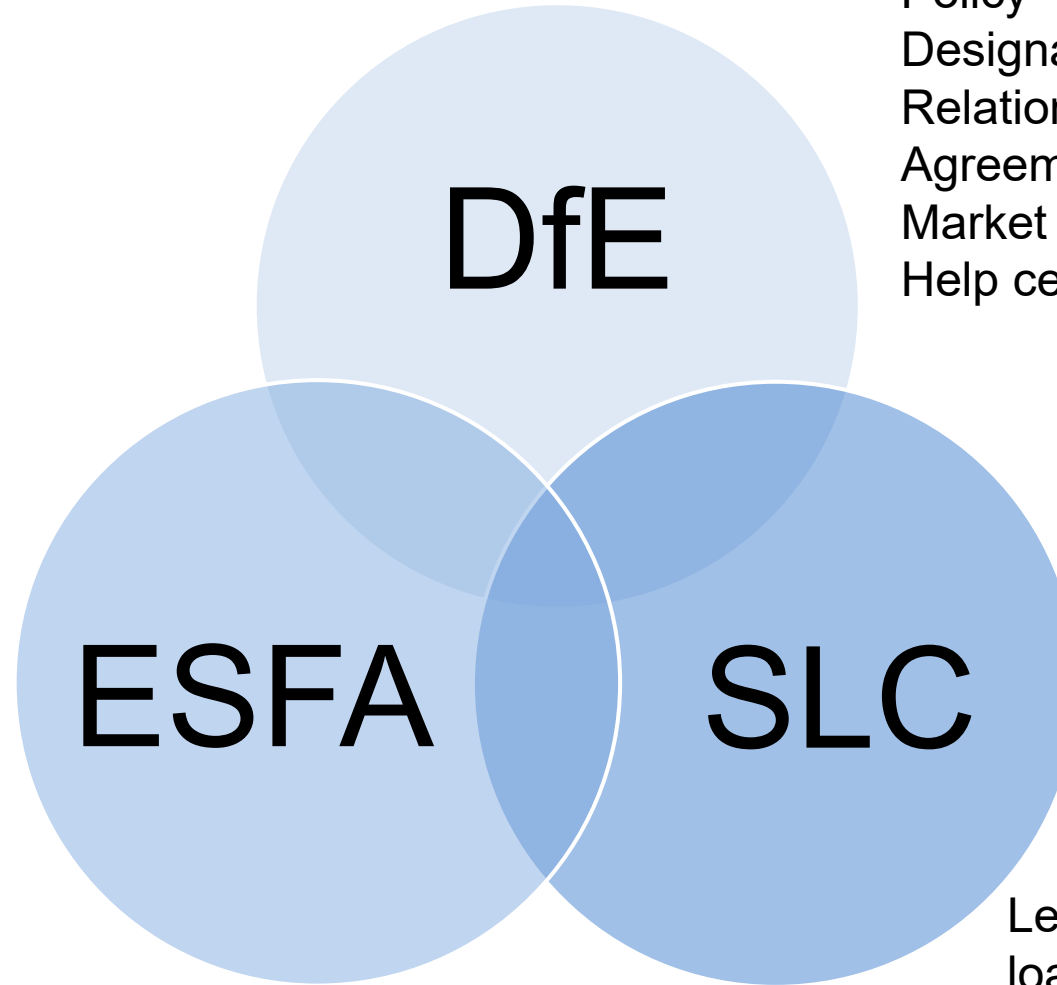
Education & Skills  
Funding Agency



Department  
for Education

# Funding Management – ESFA

# DfE teams



Policy  
 Designating qualifications  
 Relationship management (see next slide)  
 Agreement management  
 Market exit  
 Help centre

Market entry  
 Funding rules  
 Allocation  
 Bursary payments and reconciliation  
 Funding agreement  
 Performance management  
 Funding monitoring  
 Assurance audits and investigations

Learner agreements and processing  
 loan applications  
 Facility payments  
 Provider service level agreements,  
 including confirmation and change  
 HMRC repayment process

# DfE territorial teams (TTs)

**The purpose of the Territorial Teams is** to provide support and challenge to the FE sector, to promote financial sustainability and high-quality provision.

Working to protect the interests of learners and ensure security of public funds

## Objectives:

- Oversight of the FE sector, identifying institutions and providers at risk
- Implementing intervention and active support to prevent failure and ensure recovery
- Ensuring effective, efficient and successful leadership of the Independent Training Providers within the contract management framework
- Responsible for leading and advocating local technical education and skills improvement across the territory maintaining relationships with mayoral combined authorities, other key stakeholders such as ERB's as Local Skill Improvement Plans are developed
- Work with colleges and FE providers to build their capacity and capability to deliver post-16 Skills Reform including the delivery of skills priorities and the expansion of technical education such as T levels

## Large provider team

- Small expert team delivering enhanced strategic contract management to the top 30 largest/complex independent training providers (ITPs)

## Structure:

There are 4 Deputy Directors leading the Territorial Teams within the DfE:

- **Karen Sherry** (Northern England territory and European Social Fund)
- **Michael Nicol** (Midlands and East of England territory and Large Provider team)
- **Alan Kirkorian** (London and South-East territory)
- **Fiona Willmot** (South-West and South territory)



# Formal relationship management

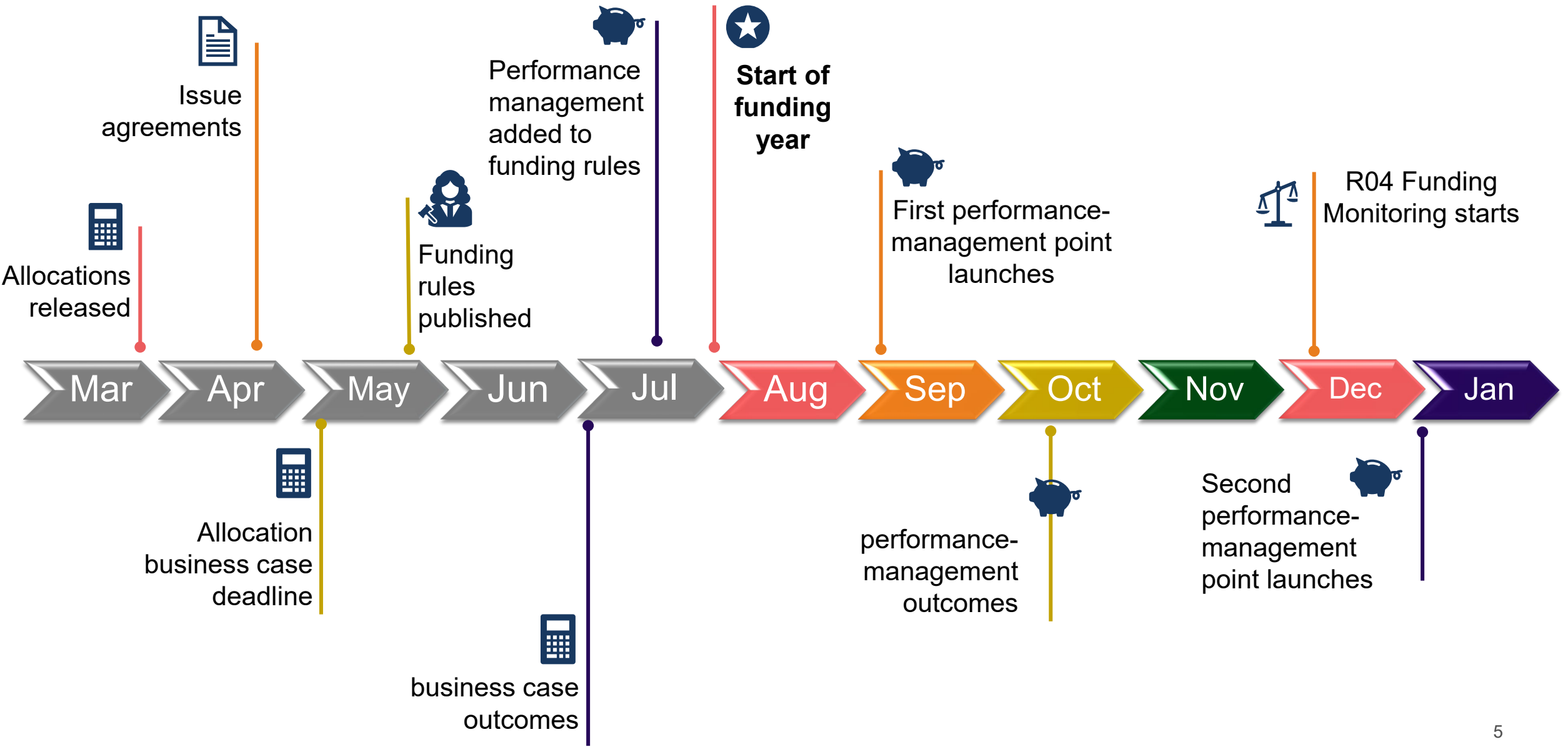
## Key DfE/ESFA rights:

- Apply sanctions, including reduce, recover or suspend payments and suspend new starts
- Apply additional conditions
- Request information
- Request breaches remedied
- Terminate agreement for specific reasons
- Have access to premises and documents to assist with audit and investigation

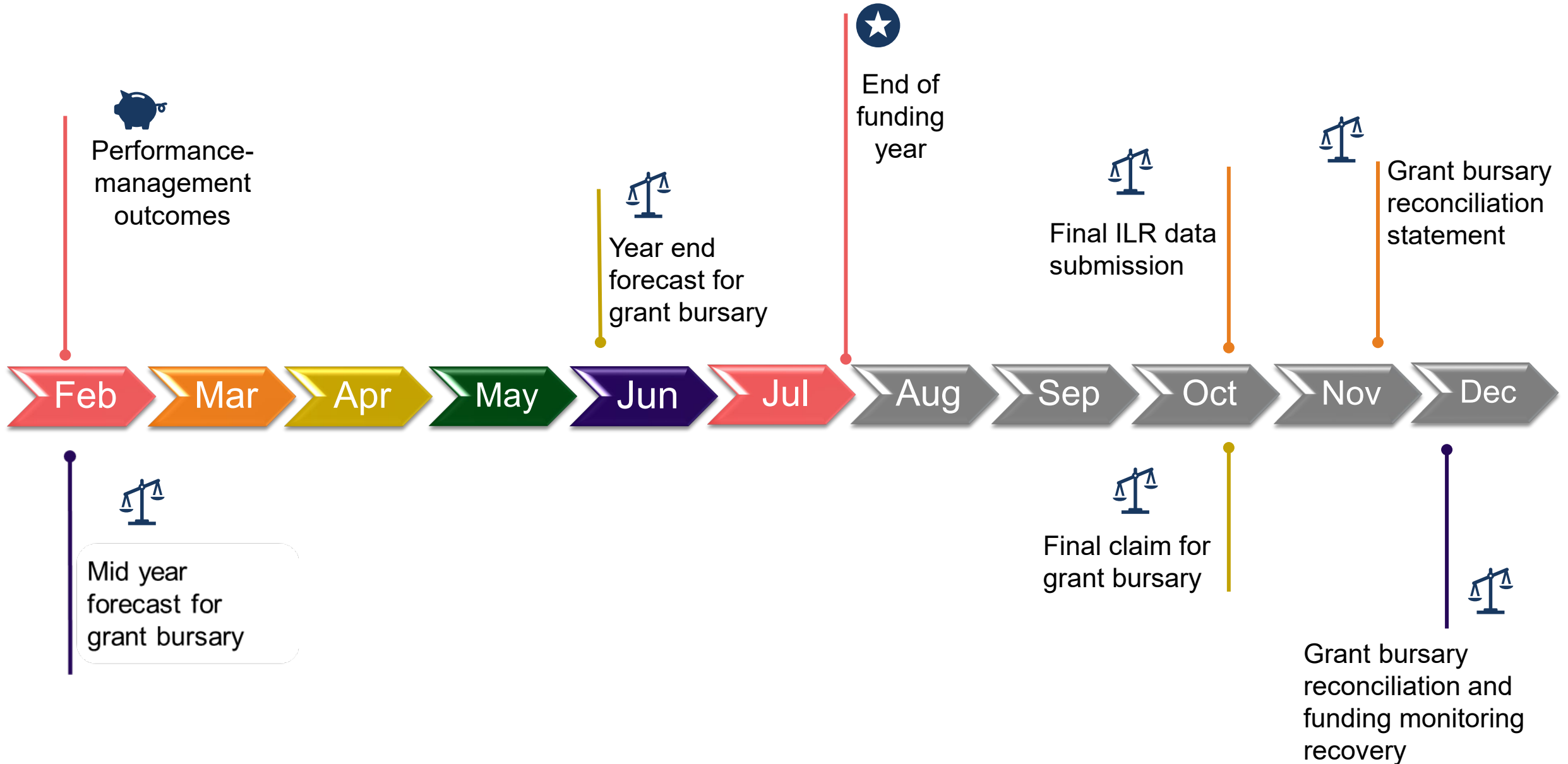
## Key provider obligations:

- Comply with the contract and associated documents
- Comply with SLC service standards and SLC portal user guide
- Maintain evidence
- Submit accurate ILR data in line with specification
- Submit grant bursary forecasts/claims (if applicable)
- No sub-contracting
- Check AEB eligibility, legal entitlement and free courses for jobs
- Repay fees, including if paid in error or learner not registered with awarding organisation
- Alert ESFA to change in control, including higher risk organisations policy
- On exit, assist the transfer of learners and access to documents

# Timeline overview 1



# Timeline overview 2



# Advanced learner loans allocations

- We confirm the approach used for calculating allocations when we issue the allocations
- We calculate allocations on an annual basis using nationally consistent methodologies, taking into account the current policy position and affordability
- The general principles we follow when setting allocations are to:

reflect  
historic  
delivery

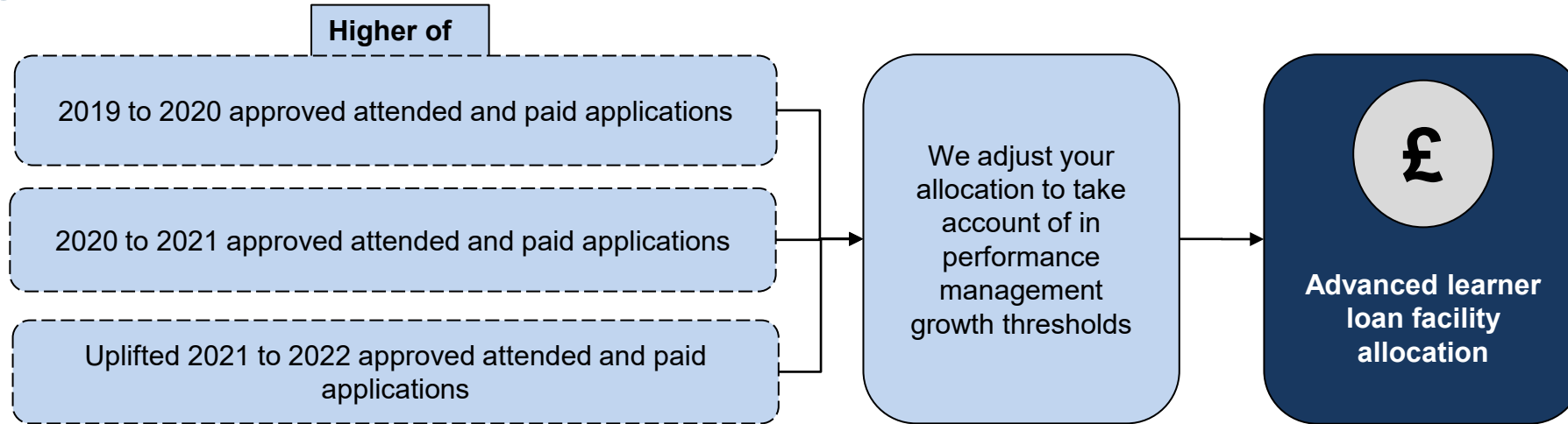
all providers  
are treated  
fairly and  
equitably

protect public  
funds and  
meet  
principles of  
public law

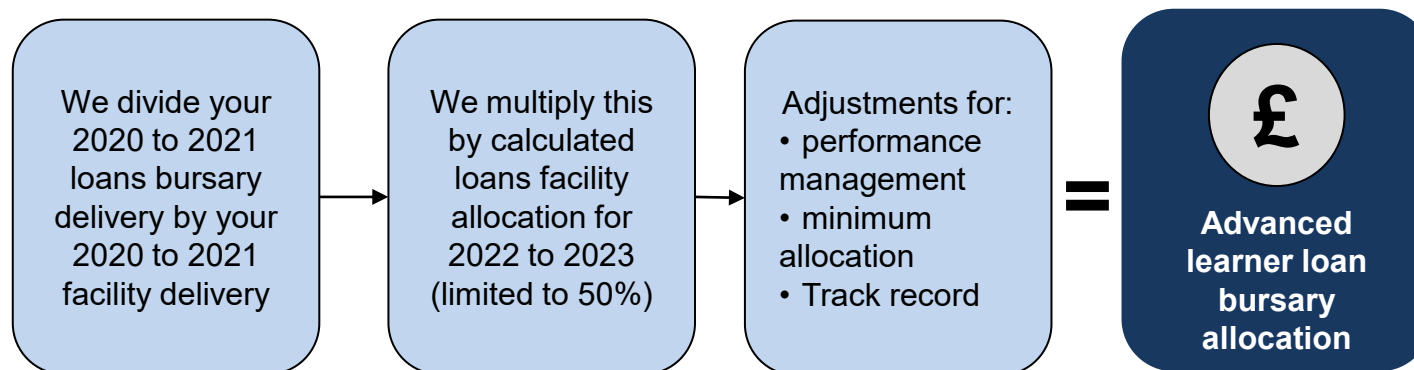
enable  
providers to  
respond to  
government  
priorities

# Advanced learner loans allocations calculations

## Facility



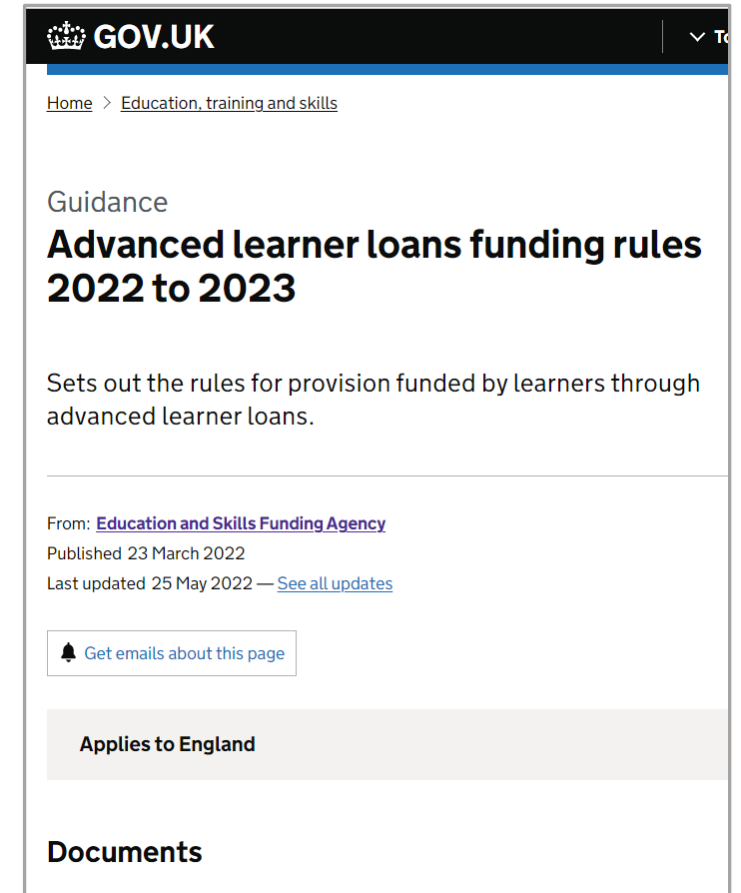
## Bursary





# Performance management

- Aligns funding with delivery at individual provider level
- At the review points we offer growth, consider reductions, and assess first-time requests (market entry)
- All adjustments applied using a formulaic calculation based on delivery against a set monthly profile
- During academic year 2022/23, there are two review points:
  - **September 2022** (outcomes issued during October 2022)
  - **January 2023** (outcomes issued during February 2023)
- We publish the performance management rules, tolerances, and limits on [www.gov.uk](http://www.gov.uk)
- Changes notified mid-month, and SLC systems updated 2nd week of following month if agreement signed, otherwise rolled over to next month



The screenshot shows a GOV.UK page titled "Advanced learner loans funding rules 2022 to 2023". The page is categorized under "Guidance" and "Education, training and skills". It provides information on the rules for provision funded by learners through advanced learner loans. The page is published by the Education and Skills Funding Agency, dated 23 March 2022, and last updated on 25 May 2022. A button for "Get emails about this page" is visible, along with a note that the rules "Applies to England". A "Documents" section is also present at the bottom of the page.

GOV.UK

Home > Education, training and skills

Guidance

## Advanced learner loans funding rules 2022 to 2023

Sets out the rules for provision funded by learners through advanced learner loans.

From: [Education and Skills Funding Agency](#)  
Published 23 March 2022  
Last updated 25 May 2022 — [See all updates](#)

[Get emails about this page](#)

Applies to England

Documents

# Loans bursary

- Available to help vulnerable and disadvantaged loan funded learners to overcome costs associated with study which may prevent them from taking part or continuing in learning
- Support for learners and their learning

## Learner support

- Hardship
- 20+ Childcare
- Residential Access



## Learning support

- Support to meet the costs of putting in place reasonable adjustments as set out in the Equality Act 2010 for learners who have been identified as having learning difficulty or disabilities



Equality Act 2010

# Funding monitoring

- Funding monitoring is monitoring data quality to ensure data reported in the ILR and via the SLC is congruent and learners are not over-exposed to debt
- Monitoring from December (R04) to the following October (R14)
- Funding monitoring errors are recovered
- Monitoring reports are available to providers on a dashboard to action

## **The following FRM reports relating to Advanced Learner Loans are:**

- FRM02 – Duplicate learning aims being delivered at two or more providers
- FRM20 - Loans learning not being recorded in ILR
- FRM21 - Loans learning not being reported by the SLC
- FRM27 – Continuing or completed learning aims that are now reported as withdrawn on or before 31 July of the previous funding year

# Funding monitoring

## Welcome

This dashboard supports [Financial Assurance Monitoring, post-16 funding for 2021/2022](#). It includes any aim records that you may need to correct in-year to ensure that funding is accurate and that your data reflects our guidance and the evidence you hold.

The dashboard provides summary information and an overview of the reports we publish so that you can identify where action is required and which funding streams are affected.

## Dashboard Structure

This dashboard contains the following tabs:

**Landing page** – Provides high level summary information that allows you to select specific filters and the option to download all your data as well as further guidance and links for further support.

**Report level information** – Report summary table and charts to show queries broken down by report, reporting period and year.

**Additional information** – Further information to help you diagnose issues.

**Summary** – High level summary which allows you to compare all providers.

**Known Issues** – Highlights any changes or fixes we are applying to the data in the dashboard.

## Summary Information

You can apply the following filters to the dashboard and the data you download. By default, the latest year and return will be displayed each time you access the dashboard.

Academic Year 202122	Reporting Month 13	Funding Stream All
6,897,282 Total Investigated Aims	62,195 Total Queries	0.00902 Average Queries Per Aim
2,660,071 Total Investigated Learners	51,951 Total Learners With Queries	1.19719 Average Queries Per Learner
<a href="#">Download all data</a>		

## Further Support

If you need further advice on how to correct data, or don't understand why you're seeing a particular record, you can access support in the following ways:

[Submit an enquiry](#)
[Talk to our community](#)
[Visit the help centre](#)

Contact [help@education.gov.uk](mailto:help@education.gov.uk)

## Data availability

For the 2021 to 2022 funding year we will update this dashboard every month by the following dates:

R04 - 17 December 2021

R05 - 20 January 2022

R06 - 17 February 2022

R07 - 17 March 2022

R08 - 19 April 2022

R09 - 19 May 2022

R10 - 21 June 2022

R11 - 19 July 2022

R12 - 17 August 2022

R13 - 28 September 2022

R14 - 4 November 2022

These dates follow the [2021/22 ILR freeze schedule](#). While the initial publication in December will include ILR data only, we will include School Census data from January.

## Actions you need to take (ILR Providers)

For the following reports you must correct any queries. We will recover the funding overclaim for any remaining queries at year-end:

FRM01 FRM13 FRM16 FRM17 FRM19

For the following reports you may not be able to correct data, however the data submitted may have resulted in a funding overclaim in the previous year, which we will recover at year-end:

FRM27

For the following reports you must ensure your data and evidence are correct and complete. We may ask you to provide evidence to support the data reported:

FRM02 FRM03 FRM20 FRM21 FRM28 FRM29 FRM30 FRM37 FRM42

FRM43 FRM56 FRM69

## Actions you need to take (School Census Providers)

For the following reports you must ensure your data and evidence are correct and complete. We may ask you to provide evidence to support the data reported:

FRM02 FRM03 FRM28 FRM29 FRM30 FRM42 FRM56

To access the dashboard, visit [our guidance](#) and follow the instructions

# Audit & assurance

- The primary objective of funding audits is to provide assurance over funds claimed by providers
- The annual assurance plan includes a random and risk sample of providers where loans and loans bursary has been claimed
- Standard working papers are used for testing loans and loans bursary
- Testing will mainly include reviewing:
  - ILR consistency with loans portal
  - The Learning and Funding Information Letter
  - Learner entitlement
  - Learning activity
  - Subcontracted delivery
  - Eligibility for bursary
- Non-compliance can result in funding errors



# Support

ESFA help centre <https://esfahelp.education.gov.uk/hc/en-gb>

- ESFA related queries and support e.g. ILR submissions, bursary, funding monitoring, eligibility, grant claims, terms and conditions
- Not for SLC service standards or facility payments

Allocations

<https://www.gov.uk/guidance/19-funding-allocations>

Performance management

<https://www.gov.uk/government/collections/funding-allocations-and-performance-management-for-providers>

Funding rules

<https://www.gov.uk/government/publications/advanced-learner-loans-funding-rules-2022-to-2023>

Bursary claims process

<https://www.gov.uk/government/publications/sfa-funding-claims/how-to-submit-a-funding-claim-for-2021-to-2022>

Funding agreements

<https://www.gov.uk/guidance/esfa-education-and-skills-agreements-2022-to-2023>

ILR specification

<https://www.gov.uk/government/collections/individualised-learner-record-ilr>

Funding monitoring

<https://www.gov.uk/guidance/esfa-financial-assurance-monitoring-the-funding-rules>

Audit

<https://www.gov.uk/government/publications/post-16-audit-code-of-practice>

