



# **PROGRAMME-LED APPRENTICESHIPS LEVEL 2**

## **OPERATIONAL GUIDELINES**

**October 2011**

**ApprenticeshipsNI is the Department's flagship programme where the Apprentice is employed from Day 1. This must always be the preferred option for those following an Apprenticeship**

## **PROGRAMME-LED APPRENTICESHIPS**

### **Operational Guidelines**

The Programme-Led Apprenticeships provision which was introduced from September 2009 is an intervention measure during the current economic downturn. The Department recognises that in this current economic climate, it is unlikely that young people wishing to be apprentices will secure employment at the outset. However, Northern Ireland must develop and retain the skills in preparation for the upturn.

Programme-Led Apprenticeships aims to provide young people aged 16 -17years (and up to 24 years for those who qualify under eligibility conditions, see Section 2.0) with the opportunity to participate in a Level 2 Apprenticeship where the participant will work towards achieving an industry-approved Level 2 Apprenticeship Framework.

Participants on the Programme-Led provision would be termed as 'Unwaged' and would therefore qualify for a 'Non Means Tested Educational Maintenance Allowance' (EMA).

The Programme-Led Apprenticeships Operational Guidelines are intended to be a comprehensive guide to the Apprenticeship Level 2 provision, and to provide information on a broad range of topics. However, as it would be impossible to cover every eventuality, Suppliers are advised that staff, in the Department's Training Programmes Branch, are available to provide guidance and assistance on any aspect of Programme-Led Apprenticeships and to clarify any of the rules which apply. Requests for clarification should be submitted via email.

Whilst the Department has endeavoured to make these guidelines as comprehensive as possible, sometimes amendments may be required to keep the information up to date. Suppliers are included on an emailing list which is used to distribute information on any new developments. To ensure that this list remains accurate, any changes in address or contact name(s) should be notified to: Training for Success Mailbox address, [trainingforsuccess@delni.gov.uk](mailto:trainingforsuccess@delni.gov.uk)

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# **SECTION 1**

## **INTRODUCTION AND AIMS**

## 1.0 INTRODUCTION

The Department for Employment and Learning (DEL) is committed to the development of a highly skilled and innovative workforce, which will contribute to the twin goals of social inclusion and economic success for Northern Ireland. The quality and effectiveness of training for young people and adults are crucial elements of that process.

Success through Skills-Transforming Futures, published by the Department in May 2011 builds on the vision outlined in the Department's Skills Strategy (February 2006) and outlines a vision for skills in Northern Ireland which sees professional and technical training recognised as a valuable alternative to the traditional academic pathway. Among the broad themes underpinning that vision are improving the quality and relevance of education and training, improving productivity by increasing the skills level of the workforce and tackling the skills barriers to employment and employability.

Programme-Led Apprenticeships were introduced as an intervention measure in September 2009 as a response to the economic downturn and the concerns expressed to the Department by a wide range of Training Suppliers reflecting difficulties with training opportunities in almost all sectors of the economy.

These measures were introduced in order that Northern Ireland would continue to develop and retain skills in preparation for economic upturn.

**However the Department stresses that ApprenticeshipsNI is the Department's flagship programme where the Apprentice is employed from Day 1. This must always be the preferred option for those following an Apprenticeship.**

## 1.1 PROGRAMME-LED APPRENTICESHIPS

- are open to 16/17 year olds (up to 24 where eligibility conditions permit, **see Section 2.0**) and who meet the entry requirements set out by the sector;
- may take two years to complete;
- are a series of planned classroom, workshop, work-based learning placement and development activities;
- lead to an externally accredited Vocational Qualification (VQ) at Level 2;
- build upon the basic general competences such as the Essential Skills of Application of Number, Communications and ICT, the latter, where appropriate to the Apprenticeship Framework;
- are industry-driven and designed to be relevant to the needs of each occupational sector; and
- can enable participants to progress to higher levels of training.

Programme-Led Apprenticeships aim to:

- provide participants with the knowledge, understanding, and competence to work at a high level in their chosen occupation;
- offer high quality training to fulfil the requirements of an appropriate Apprenticeship Framework;
- contribute to raising the skills level of the NI workforce;
- provide opportunities for progression to further and higher education and training; and
- encourage the direct involvement of employers in training.

## 1.2 KEY ELEMENTS OF PROGRAMME-LED APPRENTICESHIPS

- Time spent in directed training, which should include project based skills learning and integrated practical projects that simulate typical industry activity.
- Up to 60% of total time in training should be in work-based learning (subject to Paragraph [4.9](#)) placement with an industry-appropriate employer in years one and two.

- Payment to all eligible trainees of a non-means tested Educational Maintenance Allowance (EMA) in years 1 and 2 (currently £40.00 per week) (**See Paragraph 6.1**)
- An Apprenticeship Framework for the specific occupational area agreed with the relevant Sector Skills Council (SSC), or Industry-Led Representative Body comprising directed training, related knowledge, appropriate Essential Skills, and structured placement training.
- A Personal Training Plan (PTP) that is discussed and agreed between the Supplier, placement provider, and the participant detailing the progression route for achieving the agreed qualifications.
- A funding structure which supports training costs, makes payments on achievement of periodic milestones and on achievement of outcomes.
- Support and commitment of the relevant representative organisations (e.g. Sector Skills Councils and placement providers).

### **1.3 PROGRAMME-LED APPRENTICESHIPS FRAMEWORKS**

Each Apprenticeships Framework (Level 2) sets out the relevant national occupational standards to be achieved by the apprentice. Each Framework covers skills, knowledge, and understanding which relate to the occupational area and includes the following basic elements:

- a Vocational Qualification at Level 2;
- Essential Skills which must include Communication, Application of Number and ICT, where appropriate to the Apprenticeship Framework;
- a Technical Certificate, where appropriate to the Apprenticeship Framework in question; and

- other mandatory or optional elements as specified by the particular industry for the occupational area. The current Level 2 Frameworks are listed at the following link: <http://www.nidirect.gov.uk/index/information-and-services/education-and-learning/14-19/its-your-choice-options-after-16/apprenticeshipsni/level-2-frameworks-apprenticeshipsni.htm>
- Participants on Programme-Led Apprenticeship will follow the level 2 framework in place at the time of commencement and particular to his/her chosen occupational area.

#### **1.4 TECHNICAL CERTIFICATE**

Technical Certificates are recognised at a national level for inclusion in the Apprenticeship Framework in a process managed by OFQUALNI in consultation with the relevant sector and Awarding Bodies.

The Technical Certificate provides participants with the underpinning knowledge of their occupational area which is vitally important if they are to progress in their chosen careers.

Where a participant commences an Apprenticeship Framework prior to the accreditation date of the relevant Technical Certificate (as quoted on the OFQUALNI web-site: <http://ofqual.gov.uk>) (OFQUALNI Tel No: 028 9033 0706), the participant is not required to complete that Technical Certificate in order to achieve the full Apprenticeship Framework. More than one Technical Certificate may be specified as satisfying the requirements of a Framework. In these circumstances the Supplier must deliver a Technical Certificate that has a current accreditation date.

A list of the Technical Certificates that are recognised can be obtained from the relevant SSC, your Awarding Body, or from OFQUALNI.

# **SECTION 2**

## **ELIGIBILITY AND RECRUITMENT**

## 2.0 ELIGIBILITY

### Guarantee Group

The Department will provide a guarantee of a training place to those in the 16 and 17 year old age group who wish to enter or re-enter Programme-Led Apprenticeships.

A 17 year old who reaches age 18 on or after 2 July and before the second Monday in September will be treated as a young person within the guarantee group and be able to enter Programme-Led Apprenticeships, provided that the young person starts training during the week commencing the first Monday of September.

### NB

**\*School leavers presenting to a Training Supplier with a minimum of 4 GCSE's grade D – G inclusive of English and Maths at least Grade F must be automatically assigned to the Programme-Led Apprenticeships provision. These young people are deemed by educational experts to already be at Level 1. The Department's aim is to further progress these young people to Level 2.**

To be eligible to enter Programme-Led Apprenticeships funded Level 2 Apprenticeship provision, a young person must:

- be one who has attained the Northern Ireland minimum school leaving age;
- be one who is under 18 years of age and is unemployed ,as per paragraph 2 above ;
- be one who has a disability, is under 22 years of age and is unemployed. Suppliers proposing to recruit a young person with a disability must be able to provide the resources and support necessary to meet the young person's needs;
- be one who is in the category of "young people who qualify under the Children (Leaving Care) Act (NI) (2002), is under 24 years of age, and is unemployed;
- have achieved a minimum of 4 GCSE's at grades D-G inclusive of English and Mathematics at least Grade F(or equivalent)
- have the potential to successfully complete all the requirements of the appropriate Level 2 Apprenticeships Framework;

- have achieved any necessary entry academic qualifications (e.g. GCSE or equivalent recognised qualification) determined by the relevant sector for the Apprenticeship and approved by the Department; and
- pass any entry tests specified by the relevant sector/ and approved by the Department.
- meet any health or other requirements (e.g. colour vision, working at heights or in confined spaces, ) specific to the occupation of their choice.

**Where a young person is in doubt as to which vocational area they should follow they should be referred to the Department's Careers Service for additional information, advice and guidance.**

**Definitions of Young People under Care [Source: Children (Leaving Care) Act (NI) (2002)]**

**Categories of young people who qualify under the Children (Leaving Care) Act (NI) (2002)**

- (i) **Eligible Young Person:** Children aged 16 and 17 who have been looked after for at least 13 weeks since the age of 14 and who are still looked after.
- (ii) **Relevant Young Person:** Children aged 16 and 17 who have left care and before leaving care were eligible children. (Any child who has been in a family placement for a period of 6 months or more is not treated as a relevant child. This applies whether the period of 6 months commences before or after a child ceases to be looked after by the residence order in respect of the child before they went into care).
- (iii) **Former Relevant Young Person:** Care leavers aged 18 – 21 who have been eligible or relevant or both. (If at age 21 and still being helped with education or training they remain Former Relevant Children until the end of agreed programme of education or training even if that takes them past the age of 21).

- (iv) **Qualifying Young Person:** Any young person (including those who do not fall into any of the previous three categories) aged under 21 (under 24 if in education or training) who ceases to be looked after or accommodated in a variety of other settings, or privately fostered after the age of 16.

## **2.1 RECRUITMENT OF SCHOOL LEAVERS/FURTHER EDUCATION LEAVERS**

A 16 year old who is entitled to leave school after the statutory leaving date of 30th June, and a 17 year old who leaves school/FE College during the month of June, will not be permitted to enter Programme-Led Apprenticeships until the first Monday in the following September. However, a School Leaver/Further Education Leaver who is 17 years old and who leaves before 1st June can be admitted to Programme-Led Apprentices provision at any time after leaving school.

## **2.2 INELIGIBLE PERSONS**

### **2.2.1 Ineligible Persons**

The following are not eligible to enter Programme-Led Apprenticeships

- (i) a person in full-time education;
- (ii) a person in full-time remunerative employment;
- (iii) a young person under the Northern Ireland minimum school leaving age. Any pupil whose 16<sup>th</sup> birthday falls between 1st September in one year and 1st July in the following year (inclusive) may leave school on 30th June at the end of that academic year. Any pupil whose 16<sup>th</sup> birthday falls between 2nd July and 31st August in the same year (inclusive) must remain at school until 30th June of the following year;
- (iv) a non-EU national who is subject to employment restrictions and/or a time limit on the person's stay in Northern Ireland at the time of application to enter training. This information can be obtained by checking the Client's passport.

### **2.2.2 Eligibility in doubt**

If, at any time, the Department considers there is a reason to doubt the eligibility of a young person to participate in Programme-Led Apprenticeships, the Department shall have the right to suspend all funding in respect of the young person concerned, pending investigation. In these cases, a Supplier must immediately, and until further notice from the Department, suspend that individual from participation in the provision. If, following investigation, it is discovered the participant is eligible, then the Department will back-date all appropriate funding, including EMA.

### **2.3 PARTICIPANTS FROM OTHER EUROPEAN UNION STATES**

A person from other European Union (EU) member states and elsewhere is eligible to undertake a Level 2 Apprenticeship and can be paid an EMA if he/she satisfies the following criteria:

- is 'settled' in the UK, and been ordinarily resident in the UK for at least the three years prior to the start of his/her training; or
- is a national of any EU country, or the spouse or civil partner or child of an EU national, and have been ordinarily resident in the European Economic Area (EEA) for at least three years prior to his/her start on Level 2 Apprenticeship provision; or
- is an EEA migrant worker, or the spouse or civil partner or child of an EEA migrant worker, who is ordinarily resident in the UK at the start of training and has been ordinarily resident in the EEA throughout the three year period prior to that; or
- is a recognised refugee by the UK Government, or the spouse or civil partner or child of a refugee, or have been granted Humanitarian Protection, or have EU Temporary Protection; or
- is a person who has indefinite leave to enter or indefinite leave to remain.

For those participants who reside in the Republic of Ireland and who wish to travel daily to Northern Ireland to participate in a Programme-Led Apprenticeship, EMA will also be payable, subject to them meeting eligibility conditions.

## **2.4 PLACEMENTS OUTSIDE NORTHERN IRELAND**

A Programme-Led participant from within Northern Ireland can only be placed with an employer in the Republic of Ireland, where an appropriate work-based learning placement is not available in Northern Ireland. The written approval of Training Programmes Branch must be obtained before placing a participant in the Republic of Ireland. Where no relevant work-based learning placement can be found within Northern Ireland, a Supplier must provide robust evidence of its attempts to source a work-based learning placement, and must retain this evidence for inspection by the Department.

## **2.5 PRE-ENTRY GUIDANCE**

Prior to entering Programme-Led Apprenticeships, each young person, if required, will receive a pre-entry guidance interview from the Careers Adviser. See [Section 8](#) Careers Service Input to Programme-Led Apprenticeships for further information.

## **2.6 REFERRAL PROCESS**

Participants wishing to avail of the programme should contact the relevant Supplier whose details can be obtained by visiting <http://www.nidirect.gov.uk/apprenticeshipsni/> / <http://www.nidirect.gov.uk/trainingforsuccess> or by visiting the local Careers Office. Details of local Careers Service offices are available at <http://www.nidirect.gov.uk/careers>

Suppliers will now be responsible for entering a participant's personal and training details onto the Trainee Management System (TMS) software package which will, in turn, generate the funding payable to Suppliers. Suppliers are advised to take due care in the collection and input of participants' personal information (e.g. verify name(s) spellings, dates of birth, postcodes, qualifications). Information regarding the start date should be entered onto TMS on the day of start, or as soon as possible thereafter, i.e. only when the individual has actually commenced. Suppliers must accurately select and complete the Funding Category choice from the drop-down box in TMS and complete the expected end date, for funding purposes.

## **2.7 TRANSFERS FROM PROGRAMME-LED APPRENTICESHIPS TO TRAINING FOR SUCCESS SKILLS FOR WORK/TRAINING FOR SUCCESS SKILLS FOR LIFE**

Only those participants who are assessed capable in view of their GCSE qualifications and are committed to achieving the full requirements of an Apprenticeship Framework should be recruited to the provision.

In the unlikely event that an individual has been started on Programme-Led Apprenticeships and, on further assessment, the Supplier identifies the individual as being unlikely to achieve the full Framework requirements, the Supplier must draw this to the attention of the participant and the Work-based Learning Placement Provider. This should only arise in exceptional circumstances.

In such circumstances, the participant should be enrolled on the appropriate Training for Success component (Skills for Work or Skills for Life), subject to the individual meeting the eligibility criteria for these components in order to address the identified weakness(es).

The reasons for regression to Skills for Your Life/Skills for Work strand must be fully explained to the participant. Referral for additional advice and guidance to the Department's Careers Service advisers should also be considered and any additional assessment outcomes should be made available to assist the guidance process. As soon as the weakness(es) have been addressed the participant may rejoin Programme-Led Apprenticeships with the balance of training time. The individual's PTP should reflect any identified additional needs that are necessary as well as any Specialist Support that may be identified before transferring.

### **2.7.1 Transfer to another Supplier**

Where a participant requires further careers information, advice, or guidance in relation to their options, the Supplier must refer the participant to the Careers Service and supply all relevant assessment information to aid the guidance process. The Supplier must ensure that the Work-based Learning Placement Provider is involved in any decision-making process and agreement to transfer the participant.

## **2.8 CHANGE OF OCCUPATIONAL AREA**

The Department acknowledges that there may be circumstances where a participant may decide to change occupational area. The initial assessment period should confirm the participant's choice and suitability for undertaking training in an occupational area. However, where a change of occupational area is considered appropriate or necessary the participant may change occupational area. However, it should be noted a change of occupational area within Programme-Led Apprenticeships will not attract any additional time on programme or full re-allocation of time subsequent to change. The Department considers that 104 weeks sufficient time to achieve all elements of the Level 2 Framework.

It should be noted that a new PTP will need to be completed in all circumstances where the occupational area changes (if one has already been prepared and approved in the original occupational area) and the "set status" indicator adjusted in TMS (if applicable) where a change in funding category occurs and the date from which the change is relevant.

Form **PLA 9** must be completed and sent to Careers a copy should also be retained with hard copy PTP.

## **2.9 PROGRESSION FROM TRAINING FOR SUCCESS**

Suppliers must aim to meet individual needs and progress participants as quickly as possible.

- (i) To progress from Training for Success components (Skills for Your Life/Skills for Work), the participant must have:
- attained all milestones set out in the PTP;
  - had all identified barriers successfully addressed;
  - have been assessed as being capable of undertaking Programme-Led Apprenticeships and achieving a Level 2 Qualification.
  - Satisfy eligibility criteria for Programme-Led Apprenticeships.

## **2.10 RECRUITMENT ACTIVITIES**

Suppliers must conduct their recruitment activities in a manner that is not prejudicial to the interests of individual young persons. Suppliers must ensure that **any advice/guidance given about the programme** reflects the purpose and aims of the training provided and that any offer of incentives to a potential young person does not detract from, or take preference over, this message.

## **2.11 THE REGISTER OF REGULATED QUALIFICATIONS**

The Register of Regulated Qualifications <http://register.ofqual.gov.uk> contains details of all qualifications that are accredited by the Government's regulatory organisations in England (Ofqual), Wales (DCELLS) and Northern Ireland (CCEA).

# **SECTION**

# **3**

## **SUPPLIERS' RESPONSIBILITIES**

### **3.0 SUPPLIERS – RESPONSIBILITIES**

#### **3.1 CONTRACTS**

Any reference to contractual obligations is in the context of the contracts awarded in 2007. The Department will seek to recover monies paid as appropriate where a Supplier fails to comply with any of the requirements of these Guidelines.

#### **3.2 TERMINATION OF CONTRACTS**

Suppliers, in providing training under the terms of the agreement, do not act as legal agents for the Department.

When a Supplier decides to terminate the contract with the Department, or vice-versa, the Department has the right to satisfy itself that all aspects of the training are as they should be, and are up-to-date as at the point of closure. This not only relates to the associated administrative systems as determined by Financial Audit and Support Team (FAST) but also to the progress, or otherwise, of each participant during their respective training periods, up to the point of transfer to another Supplier.

The Department will take whatever steps are considered appropriate to obtain all the necessary assurances including the involvement of External Verification. In the absence of such assurances, the Department will make appropriate recoveries of funding applicable to the situation, including the cost of verification. Each situation will be dealt with on a case-by-case basis. The closing Supplier must ensure that all the relevant documentation is made available to the new Supplier, so that each participant's record is complete.

### **3.3 GEOGRAPHICAL AREAS**

Suppliers must not actively promote their services in contract management areas in which they do not hold a contract. Provided training is available, a young person is expected to take up training within the contract management area in which they live. However, if training is available locally, but the young person chooses a preferred Supplier in another area, then travel expenses will not be paid.

### **3.4 TRAINING DELIVERY**

#### **3.4.1 Induction**

At the beginning of the provision and at key transitional stages within it, participants will require information about the content of their training. A formal induction period must take place, to brief participants about important aspects of the training they will undertake and the working environment they will be in. Understanding about safe working practices is particularly important.

As part of this formal induction period, participants must be made fully aware of their terms and conditions and receive a copy of the Participant's Handbook. Any Induction Period must, as a minimum, include the list of actions that are included in the Induction Checklist contained within the model Personal Training Plan (**Annex 1**), and copies of the signed Induction Checklist must be retained for Departmental inspection.

#### **3.4.2 Assessment**

The initial assessment should take place within the first four weeks and identify a participant's ability to achieve the Apprenticeship Framework as well as their Essential Skills needs. The assessment must also examine the participant's motivation, to ensure that they have chosen the appropriate occupational area.

Where this assessment had indicated that further development is essential and a transfer is necessary to Training for Success (Skills for your Life or Skills for Work) the PTP should clearly reflect these needs. The outcome of the assessment must be shared with the participant.

### **3.5 PERSONAL TRAINING PLAN (PTP)**

The Supplier and participant must agree, sign, and date a Personal Training Plan (PTP) in respect of the participant. Placement providers (employers) should be made aware of the training objectives agreed in the PTP. The PTP must be signed off by a parent/guardian for participants under 18, for whom Support Services are required. Employer responsibilities to training delivery are covered in the Delivery Agreement.  
**(3.10.1)**

As a minimum, the PTP on TMS **must** contain under the relevant PTP page headings:

#### **General Qualification and Objectives**

- Framework Name, Framework Number, Level of Framework, Employer Details, Funding Category, relevant NVQ reference number, and a statement that a full paper copy PTP has been prepared separately and is available for inspection (for Management Information purposes, those who leave the provision without a full Framework, achievement must have data in respect of any part qualification entered in the Qualifications Objectives tab in the PTP, unit reference code number for each mandatory unit and non-mandatory units undertaken and achieved target date of each unit).
- The full PTP must **not** be completed on TMS. Only those data fields set out above should be completed on TMS. The full PTP must be completed separately (not on TMS) and held for quality assurance purposes. A start payment will only be made on approval of the PTP details as submitted on TMS.

- Suppliers must ensure that full PTPs are made available to ETI in the format set out at **Annex 1**. Whilst ETI will not be performing an approval role in respect of PTPs, they will be examining PTPs and providing Suppliers with recommendations as to how the quality and content of PTPs may be improved. Implementation of these recommendations will then be followed up during ETI district inspections.

### **Support Arrangements**

- Details of any identified Specialist Support needs through the tick box option.

### **Essential Skills**

- Details of Essential Skills assessment or exemption must be recorded.

Please see TMS Memo 09/08 for full details of how this information must be correctly entered.

As a minimum, the hard copy PTP (which must be retained for Departmental inspection) must also contain:

### **Participant Employment Objectives**

- A brief statement of the participant's employment and career objectives.
- Hours of attendance as required by the employer.
- The employer's name, address, and contact number.

### **Participant Training Objectives**

- State that the PTP is to be carried out under ApprenticeshipsNI arrangements.
- Specify a duration which allows the participant a reasonable prospect of successfully completing the **Level 2 Apprenticeship Framework**.

## **Learning Needs**

### Assessed Learning Need

- Include details of initial Essential Skills Needs assessment (or exemption e.g. because of GCSE passes held) and, where relevant, other identified Learning Needs. It should be noted that Essential Skills data must also be recorded within the TMS “Courses” tab facility (see paragraph 3.7).

### **Method of Assessment**

- Description of assessment methods used.

### **Additional Help**

- Any other information relevant to the participant in terms of his/her Specialist Support arrangements, including review arrangements.

### **Milestones**

- On the initial PTP, milestone data should be recorded in terms of whole or part units being pursued. It must be noted that PTPs are living documents and should be updated to reflect achievements en route to the completion of the Programme-Led Level 2 Apprenticeship.

### **Review**

- PTPs must be reviewed with the participant every 6 – 8 weeks, and these reviews must include the employer to ensure that he/she is apprised of progress.

A model PTP has been developed by the Department, and is attached at **Annex 1**. Suppliers may wish to use/adapt this model, to ensure that the above requirements are met. Under the Programme-Led Apprenticeships component, participant’s completed PTP must be submitted onto TMS within 6 weeks of start date.

### 3.6 REGISTRATION WITH AWARDING BODIES

Suppliers must be able to provide clear evidence that, by the end of the first 12 weeks of training, each participant has been registered with the appropriate Awarding Body, or application for registration has been made to the appropriate Awarding Body for each participant for each element of the Programme. Where such evidence cannot be provided, the Department will recover from the Supplier all monies paid in respect of the participants concerned.

Where Block Registration is used, Suppliers must record the block registrations held and their allocation to individual participants within the 12 week period. In addition, to avoid any delays in receipt of Certificates, Suppliers should adhere to any timescales specified by Awarding Bodies for registration of participants.

### 3.7 ESSENTIAL SKILLS

Since September 2007, Suppliers are required to deliver the Essential Skills of Literacy, Numeracy, or Communication and Application of Number in place of the relevant Key Skill. Following the success of the extended ICT Essential Skill pilot, ICT as the third Essential Skill at Levels 1 & 2 was introduced from 1<sup>st</sup> August 2009.

It is the responsibility of the Suppliers to identify the Essential Skill(s) needs of programme participants. The Essential Skills details are critical to the Department's information and data management, and it is therefore imperative that all Suppliers have procedures in place whereby the TMS system is regularly updated with all information relating to Essential Skills.

All Output Related Funding (ORF) requests received in Supplier Services Branch (SSB) for specific **Essential Skills** e.g.:

- Level 1 Communication or Application of Number;
- Level 2 Communication or Application of Number;
- Level 1 ICT; or
- Level 2 ICT

will be made “valid” (i.e. non-paying and counting for statistical purposes only), unless the Assessed, Targeted and Achieved level, relevant to the Essential Skill have also been recorded under the “Courses” tab in TMS.

It is imperative that:

- All data associated with the Assessed and Targeted levels of Essential Skills for new participants with an identified Essential Skills need must be entered into TMS under the “Courses” tab.
- Where an Essential Skills need assessment is required for a participant, and where the Supplier has failed to complete the assessment and subsequent recording of Assessed and Targeted levels in TMS under the “Courses” tab within this timeframe, the payment request will also be made “valid” (non-paying) when claimed, and counting for statistical purposes only.

SSB staff will validate each Essential Skills outcome achievement, and payment can therefore only be approved for achievements on production of the necessary certified evidence of achievement. It is important to note that where Essential Skills are being followed, a maximum of three Essential Skills ORF outcome payments are permissible in respect of the following Essential Skills Qualifications:

- one for achievement of Literacy or Communication
- one for achievement of Numeracy or Application of Number
- one for achievement of ICT (Level 1 or Level 2)

### **Exemption/Relaxations/Concessions**

Those who are following an ApprenticeshipsNI Training Framework and have achieved one of the qualifications at the same level as outlined in the table below are not required to undertake the Essential Skill qualification at the required level within their ApprenticeshipNI Training Framework.

**Qualifications that will provide a concession for ES in Communication/  
English/Application of number/Maths**

	<b>Northern Ireland England and Wales</b>	<b>Scotland</b>	<b>Ireland</b>
<b>Essential Skills Level 1</b>	Key Skills Level 1;	Key Skills Level 1;	Level 3 Junior Certificate
	Key Skills Level 2;	Key Skills Level2;	Leaving Certificate Higher level (A-D) Ordinary/Standard level (A-C)
	Essential Skills Wales Level 1;	SCQF Level 4 Intermediate 1 Core Skills	
	Essential Skills Wales Level 2;	SCQF Level 4 Intermediate 2 Core Skills	
	Functional Skills, England Level 1	General and Credit Standard	
	Functional Skills, England Level 2		
<b>Essential Skills Level 2</b>	GCSE (A*-C)	Scottish Standard Grades A-C	Irish Leaving Certificate
	CSE (Grade 1)	SCQF Level 4 Intermediate 2 Core Skills	Level 4 or above Leaving Certificate Higher level (A-D) Ordinary/Standard level (A-C)
	Key Skills Level 2	Key Skills Level 2	
	Essential Skills Wales Level 2		
	Functional Skills, England Level 2		

**Or**

\* English, English Literature or Mathematics respectively;

A Level (Grades A-E)/AS Level (Grades A-E)

The relaxation/concession route exempts the participant from the Essential Skill element of the Framework but does not constitute the attainment of an Essential Skill qualification and therefore an Essential Skill funding or Certificate will not be awarded.

Where a learner presents with an ICT qualification that is equivalent to a Level 1/Level 2 on 'The Register of Regulated Qualifications QCF <http://register.ofqual.gov.uk> and the outcomes from rigorous initial assessment confirm that the learner can apply his/her ICT skills at this level, then there should be no requirement to undertake the Essential Skill. The Supplier should maintain all the evidence from the initial assessment for evaluation as appropriate. If any requirement for assistance in ICT is identified it should be addressed.

If a participant, who has already achieved a Level 2 qualification in English, Mathematics and/or ICT, has a specific identified need in either Literacy, Numeracy and/or ICT, then it is up to the Supplier to ensure that the required support is provided through the professional and technical training to facilitate the achievement of the Full Framework. There should be no requirement to undertake the full Essential Skill qualification in such circumstances.

All applications for Programme-Led Apprenticeships Certificates must include certified evidence of the requisite Essential Skills or evidence that clearly demonstrates qualifying exemption. It is important that Suppliers ensure the appropriate evidence to support Essential Skills exemptions is provided at the initial assessment in order to prevent difficulties arising when submitting requests for Programme-Led Apprenticeships Certificates against Apprenticeship Frameworks. If a participant cannot source their Certificate or examination result slip the participant should approach the Awarding Body to provide a duplicate Certificate. If no evidence can be sourced then the Supplier should not record achievement on the participants PTP and the participant must complete the Essential Skill.

The Department has been advised by Council for Curriculum Examination and Assessment (CCEA) that the use of proxy qualifications, as determined by Qualifications Curriculum Authority (QCA), does not apply to Essential Skills. The portfolio and test aspects of the summative assessment for Essential Skills cannot be separated.

Where a learner presents with an ICT qualification that is equivalent to a Level 1/Level 2 on the RORQ/QCF and the outcomes from rigorous initial assessment confirm that the learner can apply his/her ICT skills at this level, then there should be no requirement to undertake the Essential Skill of ICT. The Supplier should maintain all the evidence from the initial assessment for evaluation as appropriate.

The relaxation/concession route exempts the participant from the need to undertake an Essential Skill as required, but does not constitute the attainment of an Essential Skill qualification.

### **Essential Skills Good Practice Guidelines**

The Department recommends that, Essential Skills courses should be at least 40 hours duration per Essential Skills area, based on recommendations by ETI. In those instances where the initial assessment process indicates that the participant is capable of achieving his/her Essential Skills qualification in a shorter period Suppliers will be expected to:

- endorse the initial assessment and confirm the hours of learning required;
- retain evidence to support the quality of teaching and learning for future inspection;  
and
- ensure that Essential Skills achievements for those participants accessing provision of less than 40 hours reach at least a 90% success rate.

A guideline for best practice for those Suppliers delivering Essential Skills would be for all participants to undergo an initial assessment for Essential Skills.

The initial assessment process will include:

- (i) the identification of those participants who already have a Level 2 qualification in English and /or Mathematics and ICT.

**For those participants identified at (i) above there is no requirement to undertake any further initial assessment for a Level 2 qualification.**

For the remaining participants, the initial assessment process should include:

- (ii) a rigorous initial and diagnostic assessment that includes a screening of each participant's prior academic achievement in English, Mathematics and ICT. Supporting evidence must be held for evaluation and inspection.
- (iii) for Essential Skills ICT the method to be used is at the discretion of the tutor but useful materials are available on the RSCni Moodle site ([www.rsc-ni.ac.uk](http://www.rsc-ni.ac.uk)).

**The results of the initial assessment process should be used to determine the level targeted by the participant and to plan individual programmes of learning which reflect accurately the participant's prior achievements and development needs.**

Further guidance on the initial assessment process entitled *Essential Skills Good Practice: The Assessment Process* is available at:

<http://www.delni.gov.uk/index/publications/ess-skills-pubs/essential-skills-good-practice.htm>

In keeping with the Government's aim of raising the skills levels of the entire workforce, where a participant has already achieved a Level 1 qualification in Application of Number, or Communication (and ICT where specified by the framework), and/or has been assessed as competent to achieve a level above the framework requirements, the Department would encourage Suppliers to provide the participant with an opportunity to work towards an Essential Skill qualification at Level 2, even if this may exceed the framework requirements.

- Under Programme-Led Apprenticeships, participants must be targeting a Level 1 qualification in Essential Skills.

- However, those Programme-Led Apprenticeships participants who have already achieved:
  - (i) a GCSE Grade D in English and/or Mathematics should be encouraged to work towards a Level 2 Essential Skills qualification, where applicable to their identified need;
  - (ii) a GCSE Grade E/F in English and/or Mathematics should be encouraged to work towards a Level 1 Essential Skills qualification or higher, where applicable to their identified need; and
- Tutors would be expected to plan a programme of developmental learning, based on the Adult Literacy and/or Adult Numeracy Core curriculum.
- For Essential Skills ICT, tutors would be expected to plan a programme to ensure ongoing development and application of skills. If participants have little prior achievement in or experience of using ICT, then the planned programme of learning should be structured to allow them to gain basic ICT skills before targeting Level 1.
- Summative assessment which includes at Entry Level the Task, and at Levels 1 and 2 the Action-Based Activity and the Desk-Top Task, must not take place until participants have addressed their weaknesses, as identified through the initial assessment process and an on-going process of formative assessment.
- Essential Skills teaching programme must, where appropriate to the Framework content of Programme-Led Apprenticeships, make full use of the context of the participant's professional and technical area and/or social and personal interests.
- Where applicable to the Framework content of Programme-Led Apprenticeships, Essential Skills tutors must develop effective links with the professional and technical tutors, and be aware of the training being undertaken in the work-based learning placement.

- Where applicable to the Framework content of Programme-Led Apprenticeships, the professional and technical tutors must consolidate and further develop the participant's Essential Skills through their work in the professional and technical units and in the work-based learning placement environment.
- For all participants on Programme-Led Apprenticeships, information gathered from initial and diagnostic assessment of the participant's Essential Skills needs, must be recorded on the participant's PTP.
- In almost all cases, there should also be evidence of a Group Learning Plan (GLP), based on the findings of the initial assessment process, to assist tutors in planning their teaching, and in monitoring the progress of participants. In exceptional circumstances, for example, where there are a significant number of participants who are roll-ons and roll-offs, individual learning plans may be deemed more appropriate, to assist tutors in planning their teaching and monitoring the progress of participants; and
- The use of a blended learning approach involving both on-line and face-to-face methods, and the use of Information and Learning Technology (ILT) to support learners and extend their learning are appropriate; and
- Progress towards achievement and final achievement must also be recorded in the PTP.

Any queries regarding any aspect of Essential Skills qualifications should be forwarded in writing to Training Programmes Branch in the first instance.

### **3.8 SPECIALIST SUPPORT FOR PROGRAMME-LED APPRENTICESHIPS SUPPLIERS**

Specialist Support services are available for participants with an auditory, visual, or other physical disability. Support is also available for participants with learning difficulties who have been assessed as capable of achieving a level 2 Apprenticeship Framework within the timeframe. For referral and invoicing details Suppliers should refer to paragraph [7.11](#) of these Operational Guidelines. (See paragraph [7.11](#)).

In addition, the Department has introduced a Pre-Entry Training Support Service whereby potential participants with a disability are identified prior to entry into training and are referred to Disability Action, Cedar Foundation or Sensory Learning Support for assessment of training support needs. The service is designed to ensure that the additional training needs of the participants are identified and measures are put in place to address the identified needs on entry to training. The service is pre-entry and managed separately from Programme-Led Apprenticeships and other programmes. (See **8.2 (iii)**).

The pre-entry training support service will involve liaison between schools, parents, clients, careers service, specialist support providers and in the latter stages training suppliers prior to entry into training.

Specialist Support Providers will be required to work in conjunction with Suppliers delivering Programme-Led Apprenticeships. It is important to ensure that participants with disabilities and/or additional support needs who have not been identified through the Pre-entry Training Support Service are not disadvantaged and are given every opportunity to overcome their difficulties and develop using the most appropriate support mechanisms. Suppliers must ensure that support needs identified through the Pre-entry Support Service are in place on commencement of training or not later than 6 weeks after start date.

For those who have not been referred through Pre-entry Training Support and are assessed as having a disability, Suppliers must engage the services of the Specialist Support Provider best placed to address the additional need and engage this support as required. Where no prior knowledge of referral to Pre-Entry Training Support Service exists, then a Supplier may contact Training Programmes Branch in writing to establish if there has been a previous referral to the service.

### **3.9 DEFINITIONS OF YOUNG PEOPLE WITH DISABILITIES**

Some young people entering Programme-Led Apprenticeships may need significant additional input of resources in terms of training time, equipment, or support in order to

fully benefit from training. Such young people may have a disability or a serious behavioural or emotional problem which may be reflected in the fact that they have a current statement of special educational need and/or have attended a special school/unit. These young people are likely to be at a substantial disadvantage in the labour market.

The following definitions apply:

The definition in the Disability Discrimination Act (DDA) is intended to cover people who would generally be regarded as disabled. Under the DDA, disability is defined as “a physical or mental impairment, which has a substantial and long-term adverse effect on a person’s ability to carry out normal day-to-day activities.” For example people with:

- Learning Disabilities
- Speech Disabilities
- Physical Disabilities
- Epilepsy
- Mental ill health
- Arthritis
- HIV
- Hearing Disabilities
- High Blood Pressure
- Brain Injury
- Diabetes
- Visual Impairment
- Cancer
- Multiple Sclerosis

The main meaning of long-term is lasting, or being likely to last, at least 12 months and there has to be an effect in one of a number of areas listed in the DDA. The areas are:

- mobility;
- manual dexterity;

- physical co-ordination;
- continence;
- ability to lift, carry or otherwise move everyday objects;
- speech;
- hearing or eyesight;
- memory or ability to concentrate;
- learn or understand, and
- perception of the risk of physical danger.

People with what are commonly known as learning disabilities or with long-lasting mental ill health could clearly also fit within this definition (depending on the particular effects on each individual). There are many disabilities where it may be immediately obvious whether they fit into this main definition. The DDA therefore includes provisions to ensure that the following sorts of conditions generally count as disabilities:

- People with some long-lasting or permanent conditions, such as arthritis, can experience periods without substantial effects.
- Some long-lasting or permanent conditions, such as multiple sclerosis, are likely to deteriorate over time until they have substantial effects, but may in the earlier stages only have very small effects.
- Some long-lasting or permanent conditions, such as diabetes, can have their substantial effects greatly reduced or removed by medication or other treatment.
- Severe disfigurements may have no effects at all.

The position in any individual case will depend on the precise facts. In addition, regulations made under the DDA ensure that a number of conditions (such as alcoholism or nicotine dependency) do not count as disabilities.

Anyone who was disabled under the Disabled Persons (Employment) Act (Northern Ireland) 1945 both on 12 January 1995 and 2 December 1996 will be regarded as having had a disability in the past, if they do not in any case fall within the definition of

the DDA. Where there is a dispute regarding whether or not a person meets the definition of being disabled, only an Industrial Tribunal or County Court can decide if that person meets the definition, as stated in the DDA.

For further information regarding the definition of disabled under DDA see [http://www.equalityni.org/archive/pdf/guideforeverybody\(R\).pdf](http://www.equalityni.org/archive/pdf/guideforeverybody(R).pdf)

### **Specialist Support Funding**

The Department will fund up to a maximum of £1,000 annually towards the provision of Specialist Support, where the need has been identified in the participant's approved PTP. A Supplier can only secure specialist support from those organisations currently listed at **Annex 12**.

In addition, a Disability Supplement may be payable to the Supplier to provide additional resources in terms of training time, equipment, or support in order for the participant to benefit fully from training (see notes in **Annex 8**).

## **3.10 PROGRAMME CONTENT**

### **3.10.1 Delivery Agreement**

A Delivery Agreement (**Annex 3**) must be completed for every work-based learning placement taking place, to allow the participant, the Supplier, and the Work-based Placement Provider to agree on the specific activities that will take place, as well as when they will take place, in order to address the identified needs of the participant, and to allow all stakeholders to agree on the relative benefits and responsibilities within any work-based learning placement. This should correlate to the Skilling element of the directed training. Copies of all Delivery Agreements must be maintained by Suppliers for inspection by the Department.

### **3.10.2 Main Components of Programme-Led Apprenticeships (Annex 4)**

#### **Year 1 – Programme-Led Level 2 Apprenticeship**

In their first year Programme-Led Apprenticeship participants will split their training attendance between directed training and work-based learning. The Department has recommended a 40%/60% split, eg a minimum of 12 hours per week in directed training and up to 3 days per week (18 hours) in a real work-based learning environment (with a further opportunity for up to an 8 week block placement in any training year) in a related occupational area.

(Participants must not spend any more than eight weeks at any one time on continuous work-based learning placement, i.e. a work-based learning placement without any directed training). During the time spent within the Supplier the Department will demand that the skills training element will be extremely well planned and executed. The format of this should be project-based skills learning and integrated practical projects that simulate typical industry activity and provide additionality to the programme. (Attendance based on a minimum of a 30 hour week)

During the first year, participants will be expected to:

- aim to achieve a Technical Certificate at Level 2 where applicable to the apprenticeship framework and commence work towards the achievement of the relevant NVQ. This must entail a good level of industry-related skills training. Where there is no Technical Certificate applicable to the industry the focus must then be on the development of skills for NVQ assessment;
- achieve Essential Skills qualifications as required by the framework;
- develop a portfolio of skills competence to be assessed for NVQ Level 2 in Year 2;

- undertake a programme of Employability, Enterprise and Careers Education tuition; and
- attend a work-based learning placement up to 3 days per week in a relevant to the occupational area being pursued by the participant.

## **Year 2 – Programme-Led Level 2 Apprenticeship**

During the second year the participant will split his/her training attendance between directed training and work-based learning. The Department has recommended a 40%/60% split, eg a minimum of 12 hours per week in directed training and up to 3 days per week (18 hours) in a real work-based learning environment (with a further opportunity for up to an 8 week block placement in any training year) (Attendance based on a minimum of a 30 hour week)

- achieve by week 78 (if they have not already done so) a Level 2 Technical Certificate where applicable to the framework;
- achieve NVQ Level 2 skills certificate;
- by week 78 begin work towards the achievement of the Level 3 Technical Certificate. This must entail a good level of industry-related skills training;
- by week 78 begin to build a portfolio of skills competence to be assessed for NVQ Level 3 certification;
- undertake a programme of Employability, Enterprise and Careers Education tuition; and
- attend a work-based learning placement in a related occupational area for up to 3 days per week (with a further opportunity for up to an 8 week block placement in the second training year).

### **3.11 CERTIFICATION**

Where appropriate, application must be made to the Awarding Body for certification to recognise the attainment of full awards or unit achievement.

#### **Certificates**

A Level 2 Apprenticeship Certificate will be issued by the Department on receipt, from a Supplier of Form [PLA 11](#) along with copies of certified evidence (including any extra units) confirming that each of the Framework components (NVQ Level 2, Essential Skills, Technical Certificate etc) has been successfully completed.

The requisite documentation should be forwarded to:

**Training Programmes Branch  
Department for Employment and Learning  
1<sup>st</sup> Floor  
Waterfront Plaza  
8 Laganbank Road  
Belfast  
BT1 3LY**

The Supplier should claim Output-Related Funding (ORF) on an ongoing basis as and when the necessary supporting documentation becomes available.

### **3.12 PROGRESSION**

The Department's main priority is to progress all participants into full-time employment as soon as possible. Progression may also be in the form of further or higher education.

Relevant and up-to-date information must be made available to participants on progression paths appropriate to their achievements and future milestones.

An exit interview must be conducted by the Supplier at least 6 weeks before the participant is due to leave Programme-Led Apprenticeships, to allow the Supplier to plan ahead and address administration issues.

In circumstances where the participant leaves early, this exit interview must be conducted as soon as it is known that they intend to leave Programme-Led Apprenticeships. Suppliers must accurately record the pathway of all participants onto the Trainee Management System (TMS), whether the participant has left the provision early, or has progressed.

### **Progression from Programme-Led Apprenticeships to ApprenticeshipsNI**

A participant on Programme-Led Apprenticeships can transfer at any time to ApprenticeshipsNI provided they have secured employment.

### **Progression from Training for Success Skills For Life/Skills For Work to Programme-Led Apprenticeships**

Where extensive efforts have failed to secure employment, participants who have achieved a level 1 qualification and achieved all milestones on their PTP may progress to Programme-Led Apprenticeships providing they have been assessed as capable of achieving a level 2 qualification as set out in the relevant framework.

Where a TFS progression is claimed the Supplier should have undertaken 3 monitoring reviews during training and retained evidence that the participant has attended for a minimum of 80% of available training days.

Training Programmes Branch will determine which (if any) Supplier has entitlement to ORF when a participant progresses with a different Supplier and will issue guidance to Suppliers accordingly.

TFS Progression payment can only be claimed when the 13 week qualifying period has been complied with.

### 3.13 MONITORING

Suppliers are required to monitor the progress of each participant to ensure that:

- a PTP has been completed and the training being provided meets the training objectives, is relevant to the occupational goal and includes the required Essential Skills (if appropriate) specified in the PTP;
- at least 3 monitoring reviews have taken place during their training;
- the training objectives including the Essential Skills (if appropriate) are being achieved; and where this is not the case, suitable arrangements are being made for alternative training;
- evidence has been retained that the participant has attended for a minimum of 80% of available training days;
- achievements are recorded through, for example, Progress File and certified where appropriate; and
- the Progress File and all other records of achievements are given to the participant on leaving the Supplier and a summative Progress File is issued for all achievements; and
- participants are kept fully informed of their progress and any areas of concern are identified and arrangements made to address.

#### **Recording Achievement**

The purpose of recording achievement is to provide an overall picture of the participant for third parties. The principles of recording achievement require one individual to be actively involved in negotiating and agreeing learning opportunities and maintaining a Progress File. When completing a Progress File, the Department would expect to see, as a minimum:

- An updated or new CV;
- An updated or new Personal Statement; and
- An updated or new list of achievements.

The Department considers it most important, however, that participants and Suppliers have wholly engaged in the processes involved with Progress File, evidence of which will be demonstrated through:

- Evidence of credits and qualifications;
- an Achievements Log to include evidence of achievement of at least 1 milestone(20-25%of framework units);
- a Personal Development or Career Plan;
- Work Experience reports;
- other supportive evidence such as certificates and letters of commendation; and
- copies of reports/progress checks and targets.

Progress File materials can be ordered from the Council for the Curriculum, Examinations and Assessment (CCEA). Orders can be submitted via the Progress File e-ordering system on the teachers tab on the [www.ccea.org.uk](http://www.ccea.org.uk) Home Page. Order forms can also be requested from Mr David Crosbie (Tel: 028 9026 1200 or email: [dcrosbie@ccea.org.uk](mailto:dcrosbie@ccea.org.uk)). Progress File materials will only be provided for Training for Success participants. The Department will monitor all requests for such materials. If it is discovered that Suppliers have ordered materials for individuals who are not on Training for Success, the Department will seek reimbursement of all funding related to the costs of these additional materials.

### **3.14 HEALTH & SAFETY**

Both Suppliers and their Training Partners (e.g. sub-contractors and work-based learning placement providers) are responsible for ensuring the health, safety, and welfare of all participants. Suppliers must produce a written statement of their Health and Safety policy, together with the general arrangements for carrying out that policy. Suppliers must regularly monitor Health and Safety on all premises, including those of Training Partners and, together with Training Partners, provide a level of supervision consistent with the activities being undertaken.

It is the responsibility of Suppliers, together with their Training Partners, to ensure that staff and participants are provided with and use the necessary safety equipment appropriate to the training and the working environment. Suppliers must make adequate arrangements to provide participants with appropriate Health and Safety induction at each location, together with any supporting instructions or guidance material. Suppliers must assign responsibility for Health and Safety to a named person within their organisation. Any queries concerning Health and Safety should be directed to:

Health & Safety Executive for Northern Ireland  
83 Ladas Drive  
BELFAST  
BT6 9FR  
Tel: 028 9024 3249  
Freephone Helpline: 0800 0320121  
[www.hseni.gov.uk](http://www.hseni.gov.uk)

### **3.15 ACCIDENTS** (see also **paragraph 7.14**)

Suppliers are responsible for investigating and reporting accidents involving a participant, irrespective of whether it occurs on their own premises, or on those of a work-based learning placement provider.

### **3.16 INSURANCE**

Suppliers have a contractual obligation to ensure that each participant is fully insured during their period in training. Suppliers are also obliged to ensure that their training partners hold appropriate insurance.

The level of cover for Employers' Liability Insurance must be in line with the legal requirements under the Employers' Liability (Defective Equipment and Compulsory Insurance) (Northern Ireland) Order 1972. The level of cover is updated periodically by Regulations. The current minimum, set by 1999 Regulations, is £5m. However, it is recommended that a level of £10m be encouraged.

The minimum level of cover for Public Liability Insurance is £1m but £2m is recommended.

Suppliers should refer to clauses 10 and 28 of the Conditions of Contract for full details of their indemnity and insurance requirements.

Self-employed Training Partners may not have Employers' Liability or Public Liability insurance cover and Suppliers must ensure that insurance arrangements are in place to meet these circumstances. Suppliers must obtain written confirmation of cover from their own insurers and from insurers of Training Partners. An annual statement confirming that their insurance and that of their Training Partners comply with the requirements of Programme-Led Apprenticeships should be forwarded to Quality and Performance Branch (QPB) – see [Annex 5](#) for a list of useful contacts.

The Department will not accept liability for any injury to a participant, or injury, loss or damage caused by a participant. Participants must not be expected to make any contributions towards insurance costs.

### **3.17 ATTENDANCE RECORDS**

Suppliers must ensure that attendance records are maintained for each participant. Suppliers must also ensure that Training Partners (including work-based learning placement providers) submit written attendance records to enable the completion of the 4-weekly claim within the specified time limit (see [Annex 6 \(Rev March 2011\)](#)) for Claims Timetable). In addition, Suppliers must retain original copies of attendance records for Departmental inspection purposes, including records of attendance with Training Partners (including work-based learning placement providers).

Faxed time sheets may be acceptable by the Department for the payment of Educational Maintenance Allowance and travel expenses to participants. Where this is the case, Suppliers must subsequently obtain/retain the original timesheets for Departmental inspection. For the purposes of all other claims, the Department will require original timesheets.

Where attendance records are not available for a period of 4 weeks prior to the most recent period claimed, the Supplier must not change the attendance status in TMS to “submitted” unless original timesheets have been received by the Supplier. Where this is not the case, funding will automatically be recovered from claims as follows:

The Department will recover the full amount of training fee and the EMA paid in respect of periods not covered by attendance records/or periods of absence agreed in the PTP.

### **Participant Travel, Bonus, Lodging and Childcare Costs**

In addition to the above, the Department will recover all participants’ travel, lodging, and childcare expenditure paid to a Supplier for any periods not covered by attendance records in respect of participants.

Where a participant is on Work-based Learning Placement, a separate attendance record (**PLA 5 (A)**) must be completed, signed, and returned to the Supplier by the Work-Based Learning Placement Provider for each participant. Where training is provided in-house, it is acceptable for the Supplier to maintain a roll book/attendance register.

## **3.18 ACCOUNTING**

Suppliers are also responsible for:

- maintaining records as required by the Department;
- administering the provision, and providing information to the appropriate Departmental Branch in the manner and at the intervals specified from time to time by the Department. Claims must be received in Supplier Services Branch (SSB) within 10 working days from the end of each claim period (**Annex 6 (Rev March 2011)**); and
- ensuring that they and their Training Partners are aware of any VAT liabilities on the exchange of monies, and that all such transactions are appropriately documented for VAT purposes. If in doubt, HM Revenue & Customs must be consulted: <http://www.hmrc.gov.uk>

### **3.19 STAFF**

Suppliers are responsible for all aspects of the employment of their own staff involved in delivering training provisions, including Contracts of Employment (where appropriate) and any associated liabilities. Suppliers are responsible for the training and development needs of their own staff and ensuring that those involved in training are suitably qualified.

### **3.20 NOMINATED REFERRAL CO-ORDINATOR**

Training Suppliers must nominate a member of staff to act as a referral co-ordinator, a liaison for the participants and the Supplier's staff, with the Careers Service. While a referral can be determined by the participant, the Supplier or a Careers Adviser, a nominated person on site will ensure that issues relating to a participant's career planning are dealt with timely, and ultimately that the participant's training objectives are met.

### **3.21 EQUAL OPPORTUNITIES (see also 7.3)**

The Department is committed to delivering its services and provisions in a way that aims to ensure that they are open to all, irrespective of community background, age, gender, marital status, disability, race, political opinion, sexual orientation, or whether or not they have any dependents. Suppliers are expected to operate likewise and each Supplier must therefore have an Equal Opportunities Policy statement.

Suppliers must ensure both in the recruitment to and in the provision of, training that neither they nor their Training Partners commit an act of discrimination rendered unlawful by the following pieces of legislation or any amendments to them or indeed any new legislation that may emerge:

- the Sex Discrimination (Northern Ireland) Order 1996;
- the Fair Employment and Treatment (Northern Ireland) Order 1998;
- the Disability Discrimination Act 1995;
- the Race Relations (Northern Ireland) Order 1997;

- Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003;
- the Sex Discrimination Act (Gender Re-assignment) Regulations Northern Ireland 1999;
- The Employment Equality (Age) Regulations (NI) 2006; or
- Protection of Children and Vulnerable Adults (NI) Order 2003 (POCVA).

Copies of the legislation may be obtained from The Stationery Office (TSO). [www.hmsso.gov.uk/legislation/uk.htm](http://www.hmsso.gov.uk/legislation/uk.htm). Further information and advice may be obtained from The Equality Commission for Northern Ireland: [www.equalityni.org](http://www.equalityni.org)

### **Equality Legislation – Section 75**

The Department's monitoring framework now takes account of community background, gender, ethnicity, disability, marital status, race, age, and dependency status. The Department has an obligation to accurately record under Section 75, the participation breakdown of all young people who are submitted onto a DEL programme. By extension, all Suppliers are required to collect Section 75 data for all Programme-Led Apprentice participants, and forward this to the Department on a quarterly basis.

An Equality Monitoring Form (See **Annex 7**) **must** be completed by every participant and entered onto TMS.

Once monitoring forms have been entered on to TMS, they can be destroyed.

### **3.22 COMMUNITY RELATIONS**

The Department would encourage all Suppliers involved in the delivery of its provision to take whatever action they can to improve and encourage cross-community relations. Whilst Suppliers are free to choose the most appropriate activities for their organisation, consideration should be given to forging close links with other Suppliers and locations that are perceived to be identified with another community.

### **3.23 POLITICAL AND CONTROVERSIAL ACTIVITIES**

Suppliers must not include any activity which is likely to be seen as indoctrinating a participant or as promoting a particular political, religious, or other controversial viewpoint. DEL's Quality and Performance Branch should be consulted if there is any doubt that a proposed activity may not meet the requirement.

### **3.24 PARENTAL/GUARDIAN CONSENT**

The parent(s) or guardian(s) of a participant under the age of 18 must give their written consent for the participant to take part in any of the following:

- a course in Great Britain;
- a visit abroad (outside the UK);
- a sea-going activity (excluding normal sea travel, but including watersports);
- evening or week-end work-based learning activity, or work at other unusual hours; and
- a hazardous activity (i.e. any pursuit or activity where it is recognised that there is an increased risk of injury or accident, or can be reasonably expected to aggravate any existing infirmity).

Where consent is not given, Suppliers must make suitable alternative training arrangements for participants who are not attending.

### **3.25 TRAINING OUTSIDE THE UK**

In exceptional circumstances where part of the training is required to be delivered outside the UK for a short period, participants who are in receipt of benefits must inform the Social Security Office/Jobs and Benefits Office of their intention to train outside the UK.

### **3.26 MULTIPLE PLACEMENTS**

Suppliers must ensure that there is a proper balance between the employees of their organisation/Training Partner and the number of participants being placed with their organisation/Training Partner.

Before placing a participant with a Work-based Learning Provider, it is the responsibility of the Supplier to ascertain the number of participants already in placement with an employer (including those from other Suppliers and on other strands), and to evaluate the quality of training to be provided. It is recommended that one Programme-Led Apprentice participant for up to every five employees should be placed in any one occupational area, and at any one training address, of the employer. It should be noted that if this ratio is exceeded, the Department reserves the right to decide what action should be taken.

In order to ensure that the Employer-Led Apprenticeship model is not undermined by these new arrangements, employers will not be able to offer placements to PLA participants if they have made *ApprenticeshipsNI* apprentices redundant in the previous 6 months. Therefore, Suppliers **must** confirm with employers that no *ApprenticeshipsNI* participants have been made redundant in the previous 6 months. An apprentice who has been made redundant and has, where eligible, entered Programme-Led Apprenticeships, will not be permitted to return to his/her previous employer on work-based learning placement.

### **3.27 PLACEMENT OF PARTICIPANTS IN DAYCARE SETTINGS**

A participant for whom a PTP specifies an occupational aim in the Caring Sector should be informed by the Supplier that placement and training in that sector will be subject to a satisfactory check under AccessNI. Suppliers must ask a prospective participant who will be working with young people or vulnerable adults with a learning disability, to declare any reason why they might not be accepted for such training. Where a person is not suitable, alternative training in a different occupational area should be offered.

### **3.28 PROTECTION OF CHILDREN AND VULNERABLE ADULTS**

The Protection of Children and Vulnerable Adults (NI) Order 2003 (POCVA) has been replaced by the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007 (SVG Order).

Where a Programme-Led Apprenticeships participant is referred to a work-based learning placement in a regulated position, Suppliers must ensure that the relevant checks, as defined by the SVG Order have been completed by the Supplier before the workplace provision begins. The same checks must also apply for any new members of staff within Suppliers or Training Partners who work in a regulated activity.

AccessNI came into operation on 1<sup>st</sup> April 2008 and has replaced the CRO Service delivered by PSNI and the POCVA service provided by DHSSPS. Where a Programme-Led Apprenticeships participant is in a regulated work-based learning placement position that involves contact with children or in a care position involving contact with vulnerable adults, Suppliers must have an Enhanced Disclosure Check carried out by AccessNI. A participant must not commence any work-based learning placement until the result of a satisfactory AccessNI Enhanced Disclosure Check has been received by the Supplier. Similarly, an Enhanced Disclosure Check must be carried out through AccessNI, for all new members of staff, either within a Supplier or Training Partner, who is in a regulated work position.

The Enhanced Disclosure fee of £30, which is recoverable from the Department, can be claimed by Suppliers via TMS. TMS Memo 06/08 provides information on how to claim the disclosure fee. Proof of payment must be retained by the Supplier for DEL audit purposes.

#### **Retention of Disclosure Information**

Suppliers must ensure that they follow the procedures for retention of disclosure information as described by AccessNI in their code of practice which can be found at [www.accessni.gov.uk](http://www.accessni.gov.uk)

Suppliers must maintain the following Enhanced Disclosure information for all participants for whom Disclosure has been applied for:

- the date of the Disclosure;
- the name of the subject of the Disclosure;
- the position for which the Disclosure was applied for;
- the unique number which was issued by AccessNI FOR THAT Disclosure; and
- the decision taken by the Supplier.

### **Staffing Levels**

The Children's Order Regulations and Guidance contains restrictions on the number of participants who can be placed in a daycare nursery. The ratio of participants to children's places is 1 to 20 in the first instance, and one to every 15 additional children's places thereafter ("young people" includes all those participating in Programme-Led Apprenticeships).

Day Nursery Centres can employ staff who are aged 16 and 17 but they must be under supervision at all times.

### **Mobility of Participants**

Given the above restrictions, Suppliers should ensure that participants placed with an employer who operates a number of daycare centres should be allocated to, and remain in, one specified centre for the duration of their training.

For further information, copies of Our Duty to Care; Principles of Good Practice for the Protection of Young People and Getting It Right: Standards of Good Practice for Child Protection are available from:

N.I. Volunteer Development Agency  
129 Ormeau Road  
Belfast  
BT7 1SH  
Tel: 028 9023 6100  
[www.volunteering-ni.org](http://www.volunteering-ni.org)

### **3.29 EU CHARTER FOR REGIONAL AND MINORITY LANGUAGES**

The EU Charter for Regional and Minority Languages is a convention designed on the one hand to protect and promote regional and minority languages as a threatened aspect of Europe's cultural heritage, and on the other hand to enable speakers of a regional or minority language to use it in private and public life. Its overriding purpose is cultural.

Article 8 of the Charter relates to requirements for professional and technical training, which may include the provision of training in a regional/minority language (Irish and Ulster Scots in the case of Northern Ireland), should there be a reasonable demand for such provision.

Suppliers will wish to familiarise themselves with the Charter, and the requirements which may arise from it. A copy of the Charter, and additional information, is available at the link below:

[http://www.coe.int/T/E/Legal\\_Affairs/Local\\_and\\_regional\\_Democracy/Regional\\_or\\_Minority\\_languages/](http://www.coe.int/T/E/Legal_Affairs/Local_and_regional_Democracy/Regional_or_Minority_languages/)

### **3.30 WORK-BASED LEARNING PLACEMENT PROVIDER/APPRENTICE RATIOS**

Suppliers, in conjunction with Work-based Learning Placement Provider, will also have responsibility for ensuring the ratio of Level 2 participants to other employees within a company is appropriate to ensure that the participant receives adequate training support while in work-based learning placement. The recommended ratio is:

- 1-5 employees: 1 Participant in any one location by occupational area;
- 6-10 employees: 2 Participants in any one location by occupational area;
- 11-15 employees: 3 Participants in any one location by occupational area; etc.

It should be noted that the above ratio is only a guideline, and refers to the Department's recommendation for a Work-based Learning Placement Provider/participant ratio. What is key, is ensuring that the participant has sufficient training support whilst on the job.

### **3.31 ADDITIONAL SUPPLIER RESPONSIBILITIES**

- Arrangements must also be made for the assessment, verification, and accreditation of the competencies of each participant;
- Suppliers must monitor the training provision against the Apprenticeship Framework throughout the period of the Apprenticeship; and
- information and/or reports must be supplied to the Department, as required.

# **SECTION 4**

## **CONDITIONS FOR PARTICIPANTS**

## 4.0 CONDITIONS FOR PARTICIPANTS

### 4.1 INTRODUCTION

Each participant is subject to the terms and conditions of Programme-Led Apprenticeships, as laid down in these Operational Guidelines, including disciplinary and grievance procedures. The Supplier must ensure that each participant is aware of the terms and conditions which apply. Each participant must receive a copy of the PTP which details the provision of training and any particular support needs, which will enable the participant to achieve the training objectives identified during the completion of the PTP. Each participant must also receive a copy of the Participant Handbook (to be issued to Suppliers separately).

Additionally, each participant must receive an EMA (**See also 6.1 and Annex 8**).

### 4.2 AUTHORISED ABSENCES

A participant may be allowed reasonable time off in the following circumstances:

- to attend interviews for employment or Further Education;
- to attend interviews with the Department for Employment and Learning/Social Security Agency/Jobs and Benefits Office/Careers Office;
- to take written examinations or external competitive assessments related to the professional and technical qualifications being pursued;
- to attend a court of law;
- to attend a Community Service Order as directed by a Court of Law;
- for domestic emergencies including immediate family bereavements;
- to attend annual training courses or camps. A participant who is a member of the Auxiliary or Reserve Forces and who is required to attend annual training courses or camps may be granted special leave for a maximum of 2 weeks;
- to attend hospital/doctor/dentist appointments; only in emergencies or where these cannot be arranged outside the hours of participation;
- to attend regular hospital visits or health checks for participants with disabilities; and
- to attend events directly associated with Programme-Led Apprenticeships.

A participant should be allowed time off in the above circumstances without deductions from EMAs.

#### **4.3 UNAUTHORISED ABSENCES**

A participant absent without permission for more than four consecutive training days may be treated as having left the programme.

If the participant takes part in industrial action lasting for more than four consecutive days, then the participant should be treated as having left Programme-Led Apprenticeships, and the Supplier should use its discretion in considering whether the participant should subsequently be allowed to re-enter the programme.

In the event of training provision being disrupted because of industrial dispute or short-time working on the part of the Supplier's staff, the Supplier must immediately advise Quality and Performance Branch. Where the disruption lasts for more than four consecutive training days and alternative arrangements have not been made, funding in respect of any participants affected will cease from the 6<sup>th</sup> day.

If a participant is absent without permission and is unable to provide a satisfactory explanation, the participant must not receive EMA for the period of absence. One fifth of the normal weekly allowance should be deducted for each full day of unauthorised absence. Deductions for absences of less than one day are at the discretion of Suppliers. A Supplier must invoke disciplinary procedures where a participant has been absent without permission for five consecutive unauthorised days.

#### **4.4 INTERRUPTED TRAINING**

To protect the balance of training remaining, where a period of training is interrupted due to pregnancy, custodial sentence, care order or where participant's placement is in a school or playgroup which has closed throughout July and August, the payment of training fee and EMA contribution will be discontinued. In these circumstances, a

participant should be encouraged to re-enter Programme-Led Apprenticeships following the enforced interruption, in order to receive the balance of training.

If a participant reaches the age of 18 during a period of “interrupted training”, they may re-enter Programme-Led Apprenticeships to receive the balance of training.

Where the interruption is due to pregnancy, the participant should be permitted to continue in training for as long as she is able and should be actively encouraged to return to training after her pregnancy, to complete her entitlement.

Interruption to training must not be used for sickness or accidents. In circumstances where the duration of an illness is more than 3 weeks, the Termination Code “sickness” must be entered into TMS.

#### **4.5 INDUSTRIAL INJURIES BENEFITS**

A participant who suffers personal injury or contracts an industrial disease as a result of training is not eligible to receive benefit under the Social Security Contributions and Benefits (Northern Ireland) Act 1992. The Department may, however, make a payment equal to the benefits available under the Act. Any claims arising under this procedure should be referred to the SSA and copied to Supplier Services Branch.

#### **4.6 SICKNESS**

- (i) The Supplier must inform the participant of procedures for notification and certification of absences due to sickness during induction training.
- (ii) A participant must report the reason for absence to the Supplier, on the first morning of illness, indicating the expected duration of the absence.
- (iii) A doctor’s certificate is required if the absence is for more than 7 consecutive days, including holidays and weekends. Shorter absences must be covered by a Self-Certification form. Providing these procedures have been followed, a participant may be paid EMA for a total of 15 working days of sickness absence

in any year of training. EMA must not be paid for any sick leave after 15 days in any year. The Supplier should consider the effect of excessive absences on the training objective. Where excessive absences threaten the training provision, the Supplier may wish to invoke disciplinary procedures.

- (iv) Where a participant has been continuously absent for three weeks, the participant must be withdrawn from Programme-Led Apprenticeships. However, where a participant has been continuously absent for three weeks, a fourth week may be approved and EMA paid, provided it is clear that the participant will return to training the following week. Should the participant not return, the participant must be withdrawn from Programme-Led Apprenticeships. Where participation has ended in these circumstances, the Termination Code “Sickness” must be entered into TMS.
- (v) In circumstances where a participant has been withdrawn from training because of extended sickness, the young person must be given the opportunity to return to training when they have recovered. The Supplier must complete **PLA 8** and forward to the mailbox of their local Careers Office, prior to re-entry, in order for a Training Credit to be issued for the balance of time, even if over 18 years of age (i.e. the period from the participant’s start date, less the period for which the participant has received payment of EMA prior to withdrawal). The Start Code in these circumstances for CMS is “Rejoining”.

For example; a participant who completed 39 weeks of training before going absent as a result of sickness and received EMA for the first three weeks of sickness will, upon re-entry, be entitled to 62 weeks of training [i.e. 104 weeks less 42 (39 weeks + 3 weeks)].

- (vi) The administrative arrangements for notifying the Department of starts and leavers will apply.
- (vii) In reviewing a participant’s sickness record, account must be taken of any sick leave taken with a previous Supplier.

- (viii) Suspected abuse of self-certification arrangements must be investigated and, if necessary, the disciplinary procedures may be invoked.
- (ix) Absences due to a pregnancy-related illness, or absence/illness related to a participant's disability evidenced by the participant's GP, must be disregarded when aggregating a participant's sick record. However, such a participant should be withdrawn from training at the end of six weeks continuous absence. It is considered that absence beyond that period, by reducing further the balance of training due, would affect the participant's ability to complete the relevant component within Programme-Led Apprenticeships.

#### **4.7 ITEMS TO BE ISSUED TO PARTICIPANTS**

Suppliers must provide all necessary equipment to participants for the provision of training, free of charge.

#### **4.8 HOLIDAYS**

- (i) A participant is entitled to 25 days paid holiday during a year of training, calculated on the basis of two days holiday for each month in Programme-Led Apprenticeships. In addition to holiday allowance, a participant is entitled to 12 days Bank and Public Holidays. Holiday arrangements must be agreed in advance, in accordance with the needs of the training provision and the normal practice of the Supplier.
- (ii) A participant may, at the discretion of the Supplier, be paid EMA in advance of a holiday period, provided that:
  - the participant enters before the start of a holiday period; and
  - the participant intends to return to training at the end of a holiday period.

(iii) Payment of EMA prior to a holiday period is limited by the following conditions:

- two days pay for each full month spent in any Programme-Led Apprenticeships component prior to the day the holiday begins;
- the period to be covered by the payment must not exceed the maximum number of days for which holiday pay may be made, which in any one year is 25, and any holidays for which payment has already been made should be taken into consideration.

(iv) Where a participant, prior to a holiday period brought about by the closure of the Supplier, has not earned sufficient leave to cover the full period of closure, the participant will be entitled to expect not more than 10 days paid leave (subject to paragraph (ii) above). Where the Supplier is closed for a period that exceeds the participant's earned leave plus the anticipated leave, no further payment of EMA should be made.

No action should be taken to recover advance payments in the event of a participant failing to report after a holiday period, or where a participant leaves Programme-Led Apprenticeships before earning sufficient days to cover the payment. However, should the participant subsequently return to Programme-Led Apprenticeships, either with the original Supplier or with a new Supplier, no further payments must be made in respect of holiday pay until the participant has served sufficient time in Programme-Led Apprentices to cover the original advance. Advance holiday pay for which there is not an underlying entitlement may only be paid once.

(v) A participant who wishes to take holidays which do not coincide with a Supplier's own holiday closure arrangements must seek approval from the Supplier. Any such periods must be unpaid, unless the participant has an underlying entitlement to accrued EMA in respect of holidays. Where such periods are unpaid and it is known from the outset that the absence will exceed five working

days, payment of the weekly training fee will cease from the last day of training. Where some accrued EMA may be due, payment will cease from the last day of paid absence. Suppliers must confirm from the outset, the duration of any such absence.

- (vi) A participant who leaves Programme-Led Apprenticeships before taking all accrued leave is not entitled to pay in lieu.

The above instructions do not apply to Bank or Public Holidays. Each participant is entitled to 12 days paid Bank and Public Holidays and these should be paid irrespective of when they arise.

#### **4.9 HOURS OF ATTENDANCE**

Participants on Programme-Led Apprenticeships must spend a minimum of 40% of their total time on the programme in directed training and a maximum of 60% of their total time on the programme in work-based learning.. The time on programme is calculated as the total number of supported weeks for the individual minus their holiday allocation. Participants must not start a work-based learning placement until after a PTP has been completed.

Suppliers may structure this through a weekly placement, placements, or a combination provided that the total balance of time spent on the programme fulfils this 40/60% requirement. Participants must not spend any more than eight weeks at any one time on continuous work-based learning placement, i.e. a work-based learning placement without any directed training. Participants must not undertake consecutive continuous work-based learning placements without a period of time which includes directed training. This period must be at least 50% of the time spent on the previous continuous work-based learning placement.

The attendance pattern to be followed will be flexible in allowing Suppliers to structure the directed training/work-based learning placement balance in a way that better suits their delivery model. Suppliers must reflect the attendance pattern to be followed on a participant's Personal Training Plan and retain suitable evidence by way of individual

attendance records to facilitate inspection. The Department will not seek to reclaim monies paid when there has been an excess of directed training in the absence of a suitable work-based learning placement. However, the Department will reserve the right to recover monies where a participant has spent more than their allocated time on work-based learning placement or where the total weekly hours attended is less than 30 hours.

For all participants on work-based learning placement, Suppliers must agree hours of attendance with the participant and the host employer. Participants must not be required to attend for any periods that would normally attract overtime or premium payments for an employee, nor should a participant be required to attend on weekends, Bank Holidays, evenings or unusual hours. See also [3.24](#)

In order to meet the conditions of entitlement to the full Education Maintenance Allowance of £40 per week on a non-means tested basis, trainees must undertake *at least* 30 learning hours per week. Therefore attendance must be based on a minimum of 30 learning hours per week up to a maximum of 35 learning hours per week. Suppliers must ensure that a participant's attendance meets this requirement. Where a block placement facility is in place this must be for a period of not less than 30 hours per week.

However, the absence of a work-based learning placement for an individual must be seen as an exceptional and temporary circumstance and Suppliers must keep each participant's work-placement status under review. The Department will monitor the situation closely on an individual Supplier basis taking into account the broader economic situation with regard to unemployment statistics and positive economic trends. Participants use the balance of their time completing agreed work activities allocated and evidenced by the Supplier.

Where a Supplier cannot find a work-based learning placement in the participant's chosen occupational area, the Department will permit a work-based learning placement in a related occupational area, where transferable skills can be demonstrated. Where no relevant work-based learning placement can be found, a Supplier must provide robust evidence of its attempts to source a work-based learning placement, and must retain this evidence for inspection by the Department.

The Department will seek to recover monies paid where the minimum attendance requirement of 30 learning hours per week has not been met.

#### **4.10 DISCIPLINARY PROCEDURES**

- (i) The Supplier must ensure that each participant has access to clear written procedures on grievance and disciplinary matters, and is informed of those procedures at the start of training. In disciplinary matters, a participant must not be treated any less favourably than an employee of the Supplier. Short-term suspension without EMA may be invoked as part of the disciplinary procedure, when the procedure has reached the first written warning stage. It must be used only in exceptional circumstances. Suspension without EMA must not last for more than two days.
- (ii) A participant may be accompanied by a parent/guardian, fellow participant, or Trade Union representative during disciplinary interviews.
- (iii) Less serious disciplinary offences (absenteeism, lateness etc.) must be dealt with by a verbal warning for a first offence, followed by a written warning, a final written warning and ultimately dismissal from training.
- (iv) Cases of frequent unauthorised and casual sick absences must be treated as follows:
  - A participant who accumulates 10 days unauthorised and/or casual sick absences (in any combination) during three consecutive claim periods must receive a written warning advising that the level of absence is causing concern and, if continued, will lead to a suspension from training.

- A participant who accumulates 15 days unauthorised and/or casual sick absences during three consecutive claim periods must be suspended\* from training for a period of eight weeks. Unauthorised or casual sick absences incurred prior to the period of suspension must be disregarded when a young person returns to training.  
\*Suspension is the penalty applied in such cases and is not considered Dismissal.
  - A participant who subsequently accumulates 10 days unauthorised and/or casual sick absence, in the 12 months from the date of return to the Provision following suspension for persistent absence (as detailed above), must be dismissed from training and will not be permitted to re-enter.
  - Where periods of unauthorised or casual sick absence below the level of 15 days in any three consecutive periods are persistently incurred, the Supplier must take appropriate disciplinary action.
- (v) In the case of serious misconduct, a participant must be given a verbal warning, first written warning, followed by a final written warning for a second offence, and then dismissal. If the offence is deemed to be gross misconduct, dismissal action may be taken immediately.
- (vi) A participant may only be dismissed by the Supplier for serious misconduct following discussion and agreement with Training Programmes Branch. A participant must be advised immediately of dismissal in writing. The SSA must be advised immediately of a participant who is receiving Income Support who is dismissed from training.
- (vii) A participant who is dismissed from training in cases other than gross misconduct will not be permitted to re-enter Programme-Led Apprenticeships until a period of eight weeks has elapsed since the last day of training. If a young person wishes (and is eligible) to rejoin Programme-Led Apprenticeships on expiry of the eight-week period, an agreement to observe the Code of Conduct and attendance stipulated by the Supplier must be signed by the young person.

- (viii) A participant will have a final right of appeal against dismissal to the Head of Training Programmes Branch. The written appeal must be received in Training Programmes Branch within 21 calendar days of issue of dismissal letter. On receipt of the written appeal, Training Programmes Branch will arrange within 10 working days, a three-person panel of independent Careers Advisers/Managers and a TPB Officer. This panel will meet with the participant and their representatives in a neutral venue.
- (ix) It is essential that a written record of all verbal and written warnings is retained in the participant's personal record. A participant must countersign the record of warnings. Specimen letters are provided in **Annex 9**. (A participant will only be allowed to have a total of three separate incidents of serious misconduct and, should a further case arise, they will not be permitted to re-enter Programme-Led Apprenticeships).
- (x) A participant's expected completion date will not be extended by any absences resulting from the disciplinary process. In the case of successful appeal, the participant will receive the balance of weeks on training which will include weeks for which they were suspended.
- (xi) Following re-entry, if a participant is again properly dismissed/suspended by a Supplier for reasons other than gross misconduct, the participant will not be permitted to re-enter Programme-Led Apprenticeships until a further period of eight weeks has elapsed. A participant re-entering Programme-Led Apprenticeships in such circumstances is subject to the normal rules of entry.
- (xii) A participant who is dismissed from training on the grounds of gross misconduct will not be permitted to re-enter Programme-Led Apprenticeships until a period of 13 weeks has elapsed since the last day of training. If a participant wishes (and is eligible) to rejoin Programme-Led Apprenticeships on expiry of the 13-week period, an agreement to observe the Code of Conduct and attendance stipulated by the Supplier must be signed by the participant. A participant will only be allowed a total of two separate incidents of gross misconduct and, should a

further case arise, they will not be permitted to re-enter Programme-Led Apprenticeships. All cases of gross misconduct must be submitted in writing, outlining the nature of the offence to Training Programmes Branch for approval to be allowed to re-enter Programme-Led Apprenticeships.

- (xiii) Suppliers must be careful that a participant recruited by them is not currently subject to a period of suspension or dismissal from training by a previous Supplier.

#### **4.11 TRADE UNION MEMBERSHIP**

A participant who wishes may join a Trade Union. This is a matter for each individual to decide. Any participant who is a member of a Trade Union must be permitted to be represented by that Trade Union in a range of matters, including those dealt with under the individual Supplier's disciplinary procedures.

Arrangements to afford any Trade Union the opportunity to make representations on behalf of a participant, are matters to be settled between the Supplier, the participant, and the Trade Union concerned, but must be consistent with good industrial relations practice. A participant who joins a Trade Union must be treated in the same manner as all other members of that Union (e.g. given time off to attend legitimate Union meetings).

#### **4.12 TRANSFER OF PARTICIPANTS**

Where a participant is transferred to another Supplier approved to deliver Programme-Led Apprenticeships, the former Supplier must transfer all records relating to that participant to the new Supplier, within one week of the participant leaving the initial Supplier.

Where a participant requires further careers information, advice, or guidance in relation to their options, the Supplier must refer the participant to the Careers Service.

#### **4.13 PARTICIPANTS LEAVING PREMATURELY**

Suppliers must inform the Careers Service as soon as it is known that the participant is leaving, or has left Programme-Led Apprenticeships with no job or further training in prospect.

# **SECTION**

# **5**

# **FUNDING**

## **5.0 FUNDING**

### **5.1 INTRODUCTION**

This section sets out the funding arrangements for Suppliers delivering Programme-Led Apprenticeships. See Funding Table at **Annex 8**.

There are six funding bands associated with the Occupational Areas as set out in **Annex 8** Funding can be drawn down in respect of Level 2 Programme-Led Apprenticeships in accordance with the Funding Table detailed in **Annex 8**.

It should be noted that, in circumstances where components of a full Apprenticeship Framework have already been achieved, the funding already made in respect of these components will be deducted from the final payment of the Apprenticeship Framework. (e.g. in the case of a redundant apprentice regressing to Programme- Led Apprenticeship)

The funding structure of Programme-Led Apprenticeships is designed to enable participants to gain accredited qualifications including National Vocational Qualifications (NVQs), Essential Skills (where applicable) and Technical Certificates relevant to the chosen apprenticeship frameworks, as well as job outcomes. Incentives for Suppliers in the form of Output-Related Funding (ORF) have been incorporated into the funding framework.

Funding will also be provided on completion of an electronic PTP submitted through TMS.

### **5.2 WEEKLY TRAINING FEE**

Suppliers will receive a weekly training fee for each week of participation by a participant. Training fees will be paid where the participant is following a PTP approved by the Department. [The rates at which the training fees will be paid and the number of training weeks supported are set out in funding table (**Annex 8**).]

On entry to Programme-Led Apprenticeships the PTP will detail the training and development needs and objectives to be met during the training period, consistent with the participant's assessed capability and aspirations **(3.9)**

### **5.3 START PAYMENT**

A start payment will automatically be approved for payment provided that the required minimum details as set out in [paragraph 3.5](#) are completed in TMS within 6 weeks of the participant's start date.

### **5.4 MILESTONE PAYMENTS**

Four Milestones will be identified within the Programme-Led Apprenticeship. To qualify for payment of the first Milestone the Supplier must be able to provide evidence that the participant has achieved between 20% and 25% of the Apprenticeship Framework Units. For the second Milestone evidence that the participant has achieved between 40% and 45% of the Apprenticeship Framework Units, for the third Milestone 60% and 65% of the Apprenticeship Framework Units and for the fourth and final Milestone the participant must have achieved between 80% and 85% of Apprenticeship Framework Units.

See also Section 7 ([7.12](#)).

### **5.5 OUTPUT-RELATED FUNDING (ORF)**

Suppliers will receive a range of funding depending on the funding category for which ORF applies, based on achievement of the qualification outcomes, as detailed in the funding table at **Annex 8**.

A request for prior approval to claim ORF for the following qualification outcomes must be submitted to Supplier Services Branch via TMS to CMS as soon as possible after the achievement

- Essential Skills
- Achievement of NVQ
- Achievement of full apprenticeship framework including a technical certificate where required

ORF in respect of Essential Skills will be limited to one payment of £100 per participant in respect of each Essential Skills qualification achieved.

## **5.6 UNAPPROVED OR INELIGIBLE EXPENDITURE**

The Department would remind Suppliers that they can only claim entitlement to funding which is either in accordance with these Operational Guidelines or has been specifically approved by the Department. Appropriate recovery of funding will be made in instances where the Department determines that claims have been ineligible, or there is insufficient supporting documentation.

## **5.7 NOTES REGARDING PAYMENTS**

Where accredited qualifications are being undertaken, The Register of Regulated Qualifications and the list of approved qualifications will be used as references for validation purposes for the payment of training fees and ORF. <http://register.ofqual.gov.uk/>

Where a participant transfers from one Programme-Led Apprenticeships Supplier to another and successfully completes an approved qualification for which ORF is payable, **NB** it is the Supplier who has brought the participant through to the achievement of their qualifications who will be entitled to the ORF. It is the responsibility of the Suppliers concerned to agree the amount of ORF payable to each of them. In cases where agreement cannot be reached, Training Programmes Branch, in conjunction with Quality Performance Branch, will act as an arbitrator.

Where the attendance of any participant is not in accordance with the Programme-Led Apprenticeships Operational Guidelines, or where the participant is not following or ceases to follow the agreed PTP, payments made by the Department will cease and the Department will be entitled to recover all payments made.

## **5.8 CALCULATION OF PARTICIPANT WEEKS**

The number of expected training weeks must be calculated from the end of week one; i.e. the Sunday directly following the participant's start date.

## **5.9 OTHER INCOME**

Suppliers may supplement funding, provided that they do not involve any activities of an illegal or immoral nature, or which have a detrimental effect on the quality of the training being provided. Contributions towards the costs of training must not be sought from participants or their parents/guardians.

## **5.10 OTHER SUPPORT FUNDED BY THE DEPARTMENT**

Specialist Support Services are available for a participant with an auditory, visual or other physical disability as follows:

Specialist Support Providers will be required to work in conjunction with Suppliers delivering Programme-Led Apprenticeships. It is important to ensure that participants with disabilities and/or additional support needs are not disadvantaged and are given every opportunity to overcome their difficulties and develop using the most appropriate support mechanisms. Suppliers must consider the merits of securing support from a Specialist Support Provider and engage this support as required.

### **5.10.1 Specialist Support Funding**

The Department will fund up to a maximum of £1,000 annually towards the provision of Specialist Support, where the need has been identified in the participant's approved PTP. A Supplier can only secure specialist support from those organisations currently listed at **Annex 12**.

See also Section 7 ([7.11](#)).

In addition, a Disability Premium/Supplement may be payable to the Supplier to provide additional resources in terms of training time, equipment, or support in order for the participant to benefit fully from training (see notes in **Annex 8**).

### **5.10.2 Services that Specialist Support Providers will be Required to Deliver**

Specialist Support Providers will work closely with the Department, the Department's Careers Advisers, and Suppliers contracted to deliver Programme-Led Apprenticeships. (See also arrangements for Pre-Entry Training Support **3.8**) Specialist Support Providers will be expected to deliver their services throughout Northern Ireland.

The Specialist Support Provider will be required to deliver:

- In-depth involvement with the Supplier in the delivery of the participant's PTP;
- Counselling to increase and improve a participant's confidence, self-esteem and value, enabling them to progress within their training; and
- Pastoral Care – to ensure that appropriate child protection and equality policies are provided and observed.

### **5.10.3 Specialist Support – Supplier Arrangements**

A list of Specialist Support Providers is available at [Annex12](#). Suppliers will specify programmes of work and select the most appropriate Specialist Support Provider to address the needs of an individual, as identified in the participant's PTP.

### **5.10.4 Provision Review**

For the purpose of assessing, monitoring, and evaluating the Specialist Support Provider's performance, Officers of the Department or its Agents shall be allowed reasonable access to the Supplier's premises and, where necessary, will be permitted to interview staff, administrators, participants and all relevant records therein.

# **SECTION 6**

## **ALLOWANCE TO PARTICIPANTS**

## **6.0 ALLOWANCES IN RESPECT OF PROGRAMME-LED APPRENTICESHIPS PARTICIPANTS**

### **6.1 PARTICIPANTS' EDUCATIONAL MAINTENANCE ALLOWANCES (EMAs)**

Educational Maintenance Allowance (EMA) of £40 per week was introduced with effect from 1st September 2008 and extended to Programme-Led Apprenticeships on its introduction in September 2009. EMA is paid under the provisions of the Employment and Training Act Northern Ireland 1950 (as amended) and may be wholly disregarded in the assessment of entitlement to certain means - tested Social Security benefits.

In order for the EMA to be disregarded for such Social Security purposes it must be paid by or on behalf of the Department for Employment and Learning under the provisions of the above legislation.

**It must be paid to the participant and should be clearly identifiable as a payment of EMA at £40 per week.**

This arrangement is to ensure that, where appropriate, participants or their parent/guardian are eligible to have a disregard applied in the assessment of their entitlement to the relevant Social Security benefits.

### **6.2 PARTICIPANTS ELIGIBLE FOR INCOME SUPPORT**

Following the legislative changes to Child Benefit/Child Tax Credit from April 2006, families of young people aged 16-19 who are participating in Programme-Led Apprenticeships may be entitled to Child Benefit/Child Tax Credit.

Programme-Led Apprenticeships participants will receive an EMA of £40 per week until they complete their period of training, or they progress to ApprenticeshipsNI.

Some participants may have personal circumstances where they have entitlement to additional financial support from the Social Security Agency (SSA) if, for example, they are disabled; a lone parent; a carer; estranged from their family and suffer severe

hardship. Suppliers should advise participants that if they have personal circumstances which may require additional financial support they should contact their local Social Security Office/Jobs and Benefits Office, to discuss their individual circumstances and get further advice about making an Income Support claim.

Where the training of a 19 year old is to continue after his/her 20<sup>th</sup> birthday, the payment of Child Benefit will cease on his/her 20<sup>th</sup> birthday. The participant should therefore be referred to the local Social Security Office/Jobs and Benefits Office to discuss their personal circumstances and establish whether additional financial support (in addition to their EMA) is required.

It should be noted that Income Support (where payable) may alter in line with changing personal circumstances and it is the responsibility of the participant to report any such changes to their local Social Security Office/Jobs and Benefits Office.

Any queries that a participant may have concerning the financial support should be addressed, in the first instance, to the local Social Security Office/Jobs and Benefits Office.

A participant in receipt of EMA will be exempt from payment of National Insurance (NI) contributions.

### **6.3 ADDITIONAL PAYMENTS TO PARTICIPANTS ON WORK-BASED LEARNING PLACEMENT**

Suppliers should be aware that additional payments to a participant of an amount in excess of the EMA should be cleared with HM Revenue and Customs (HMRC) or SSA Office, as such payments may generate Income Tax and/or National Insurance Contribution liabilities.

#### 6.4 TRAVEL COSTS IN RESPECT OF PARTICIPANTS

Participants must pay the first £3 towards any weekly travel costs incurred. The Department will make a contribution towards the cost of weekly travel in respect of each participant whether or not they incur expenses. The contribution will be based on the address of the Supplier with regard to the contract management area. Details of the amounts are provided at **Annex 10**. The Supplier should enter the appropriate travel rate into TMS under the “Expenses” facility. The travel costs, minus the participant’s £3 contribution, will be reimbursed by the Supplier to the participant.

Participants will be expected to avail of training within the Contract Management area in which they live. However, if training is available locally but the participant chooses a preferred Supplier in another area, then the Department will not make a contribution towards the travel expenses incurred.

In cases where public transport costs are £50.00 or over written approval must be sought from Training Programmes Branch within **4 weeks** of the participant commencing Programme-Led Apprenticeship. Form **PLA 2** must be submitted to Training Programmes Branch and written approval granted before any claims are made via TMS

In exceptional cases, it may be necessary for a participant to travel by taxi, either because public or private transport is not available, or because physical disability makes public transport unsuitable. The weekly cost of taxi fares, minus the first £3, will be reimbursed by the Department. Three written quotations from properly insured and registered taxi firms must be obtained and Suppliers should only accept the lowest quotation unless there are mitigating circumstances for not doing so. Suppliers must obtain written approval from Training Programmes Branch within 4 weeks of the participant starting PLA for taxi costs of £50 or over per week, and the related quotations should be submitted to Training Programmes Branch along with Approval Form **PLA 2**. Suppliers must ensure that quotations and receipts are retained and kept for audit purposes.

Form **PLA 2** must be submitted and written approval granted before any claims are made via TMS. Suppliers must ensure that payments for taxis are made directly to the taxi company and not the participant. The taxi company must provide the Suppliers with invoices and the accuracy of the invoice detail must be checked against the Supplier's records before submitting claims to the Department.

Suppliers using vehicles, whether owned or hired, for transporting participants to and from the training location may charge a Programme-Led Apprenticeships participant up to the cost of an equivalent journey by public transport. Suppliers must ensure that they have adequate insurance cover for the vehicles and obtain an appropriate licence from the DVLANI: [www.dvni.gov.uk](http://www.dvni.gov.uk).

Participants who use their own transport and who qualify for travel costs will be paid £0.25p per mile. Participants must pay the first £3 towards any weekly travel costs incurred. Written approval must be sought from Training Programmes Branch within 4 weeks of the participant starting to use their own transport.

## **6.5 LODGING ALLOWANCE**

In exceptional circumstances, a participant may be eligible for lodging allowance in respect of accommodation which is not of a furnished/unfurnished letting, and applications for funding may be made in writing by the Supplier to Training Programmes Branch through Form **PLA 3**.

Participants who voluntarily travel outside their home Contract Management Area are not eligible to apply for lodging allowance, where similar training is available within their home Contract Management Area. Where a participant who is in receipt of Income Support enters lodgings and receives payment of lodging costs during the participant's time in Programme-Led Apprenticeships, the participant must inform the SSO/Jobs and Benefits Office.

## 6.6 CHILDCARE PAYMENTS IN RESPECT OF PARTICIPANTS

6.6.1 The aim of childcare payments is to help any participants who are particularly disadvantaged in entering the labour market because they have childcare responsibilities.

- (i) The contribution rates payable by the Department are set out in **Annex 11**. Applications for childcare costs up to £50 per week may be authorised by the Supplier. Those in excess of £50 per week must be referred to Training Programmes Branch for approval. Such applications must be made on form **PLA 4** on the first day a participant joins Programme-Led Apprenticeships.
- (ii) The upper age limits in respect of children for whom childcare assistance is payable are:
  - the first Tuesday in September following a child's 15<sup>th</sup> birthday; or
  - in the case of a child in receipt of Disability Living Allowance or who is registered blind, the first Tuesday in September following their 16<sup>th</sup> birthday.
- (iii) Applications for childcare assistance can be made by:
  - a lone parent on Programme-Led Apprenticeships;
  - a Programme-Led Apprenticeships participant whose partner is also on Programme-Led Apprenticeships, or other Departmental training programmes where Benefit-Based Training Allowance (BBTA) or EMA is being paid;
  - a Programme-Led Apprenticeships participant whose partner is in receipt of one or more of the following qualifying benefits:
    - Attendance Allowance (AA);
    - Constant Attendance Allowance;
    - Disability Living Allowance (DLA);

- Disability or Higher Premium Pension;
  - Incapacity Benefit (IB) where the rate payable is short-term higher rate or long-term lower rate; and
  - Severe Disability Allowance (SDA).
- a participant who makes arrangements for the care of the child(ren) on a fee-paying basis with a carer, childminder, day nursery, or a crèche which is registered with the appropriate authority.
- (iv) Payment of Childcare must be made by the Supplier directly to the carer. To do otherwise may jeopardise the participant's level of Income Support (if applicable). The participant should be told how the payments are to be made and the reason for doing so.
- (v) Payment of Childcare can be paid to a relative who is not a Registered Child minder. For the purpose of payment, a relative is defined as someone who is over 18 years of age and who is a grandparent, aunt, or uncle of the child(ren).
- (vi) Childcare claims must be calculated on an hourly rate per child and based only on the actual hours per day during which the child has been in the child minder's care.
- (vii) The purpose of the payment of a retainer fee is to ensure that the childcare place is kept available and not reallocated. The retainer fee is therefore only payable to Registered Child minders where the childcare place is temporarily unfilled. Whilst childcare payments may be made to relatives who are not Registered Child minders and who child mind for lone parents, the payment of a retainer fee is not deemed necessary or appropriate in such circumstances.

- (viii) In cases where a participant is absent from training because of illness or casual absence (unauthorised leave or annual leave), the full retainer fee may be paid for such days, providing the childminding facility's terms and conditions clearly set out that the payment is required for those days.
- (ix) It should be noted, however, that the Department will only reimburse fees in the above circumstances for a maximum of 15 days in respect of sickness, 5 days in respect of Unauthorised Absence and up to 25 days in respect of Annual Leave taken by the participant. Childcare claims should be calculated on an hourly rate per child and based only on the actual hours per day during which the child has been in the childminder's care.
- (x) The retainer fees are not payable for periods when the child minding facility is not available.

# **SECTION 7**

## **ADMINISTRATION PROCEDURES**

## **7.0 ADMINISTRATION PROCEDURES**

### **7.1 INFORMATION SYSTEMS**

The Department, in conjunction with Fujitsu Services, has developed a software package Trainee Management System (TMS) to assist Suppliers in the administration arrangements for Programme-Led Apprenticeship. It is linked to the Department's central Client Management System (CMS) database and will cater for an automated Client Registration process, with Suppliers being linked electronically to CMS. TMS will have an automated process for payment approval requests which, when actioned, will be rolled up into the Supplier's claims.

### **7.2 START NOTIFICATION**

Start processes under CMS are automated. On the Monday of each week, JobCentres/Jobs and Benefits Offices/Careers Offices must produce a 'Starts Report' via the 'Non Immediate Printing' facility. The purpose of the 'Starts Report' is to facilitate the administrative arrangements associated with those who start Programme-Led Apprenticeships.

### **7.3 EQUAL OPPORTUNITIES (see also 3.21)**

To facilitate the monitoring of Department's Equality Policy, the Department is committed to delivering its services and provisions in a way which aims to ensure that they are open to all, irrespective of community background, gender, marital status, disability or race, age and dependency status. An essential aspect of the Department's Equality Policy is the monitoring of applicants and participants in the various Department provisions.

Information relevant to Equal Opportunities will be downloaded from CMS to TMS at the point of confirmed registration of a young person on Programme-Led Apprenticeships. Although Equal Opportunities data in relation to community background is not viewable on an individual client record in TMS, reports relevant to community background, gender, marital status, disability or race can be run in TMS to facilitate Equal

Opportunities monitoring. **It is important therefore that equality monitoring data is as accurate as possible in CMS.** It should be noted that marital status is a mandatory field in CMS, therefore, this data will also be downloaded at the point of confirmed registration of a participant on Programme-Led Apprenticeships.

### **Health Conditions and Disability**

In relation to Equal Opportunities monitoring within Programme-Led Apprenticeships, some of the processes are automated. When a young person enters Programme-Led Apprenticeships, the Disability or Special Need indicators in TMS may be already set by the Careers Adviser. **The Supplier will require approval for Disability supplement to be paid.** This is facilitated by seeking Disability premium approval via TMS and by the subsequent approval processes between TMS and CMS. Once approved in CMS by the Careers Service, a record is held against the client details on CMS as to when the approval was made and by whom. TMS will also be updated with the appropriate approval.

A list of Disability/Special Needs codes is available at **Annex 13.**

## **7.4 NOTIFICATION OF LEAVERS**

Leaving processes under CMS are automated and information is transmitted from TMS to update CMS.

**Suppliers must ensure all avenues are explored to determine the destination of leavers before using the “Destination Not Known” code.**

On the Monday of each week JobCentres/Jobs and Benefits Offices/Careers Offices must produce a ‘Leaver’s Report’ via the ‘Non Immediate Printing’ facility. The purpose of the ‘Leaver’s Report’ is to facilitate the administrative arrangements associated with those who terminate from Programme-Led Apprenticeships.

## 7.5 PROGRAMME-LED APPRENTICESHIPS CLAIMS

Programme-Led Apprenticeships claims must be submitted as per the claim calendar, (see **Annex 6 (Rev March 2011)**) from TMS to CMS to be received **no later than 10 working days after the end of each claim period**. A signed copy of the Claim Form Report must be sent to Supplier Services Branch as soon as the claim has been generated in TMS and the completed claim has been transmitted to CMS. **The claim will not be regarded as being received in Supplier Services Branch until both the electronic copy and signed hard copy have been received.**

**Prior to submitting a claim, Suppliers must ensure that they carry out the pre- and post-claim checks contained in the document “Claims Checking Procedures for Trainee Management System Claims’, issued as an attachment to TMS Memo 07/08.**

Suppliers must retain all supporting claims documentation for inspection by the Department. Failure to provide satisfactory documentary evidence of eligible additional costs may result in reimbursement being disallowed and/or recovery of payments already made

## 7.6 BANK DETAILS AND AUTHORISED SIGNATORIES

Suppliers must notify Supplier Services Branch as soon as possible via Form **PLA 1** of details of the Bank Account to which payments are to be made and the names of those authorised to sign Programme-Led Apprenticeships forms on behalf of the Supplier.

Any subsequent changes to these details must be notified **immediately** to Supplier Services Branch via a newly completed Form **PLA 1** before submission of a claim. Payment of the Supplier claim will only be made if the Claim Form Report is signed by an authorised signatory.

## 7.7 EMA AND ATTENDANCE RECORD

The EMA in respect of a Programme-Led Apprenticeships participant is based on the daily attendance rate less deductions. Unauthorised absence and lateness are deducted automatically by TMS, based on confirmed attendance details input by the Supplier to TMS. Unauthorised absence may be deducted for both half and full days.

Suppliers **must** ensure that detailed weekly attendance records are maintained for each participant. Suppliers must ensure that written attendance records are completed for the 4-weekly claim within the specified time limit (i.e. within 4 weeks of the period to which they relate) **Annex 6 (Rev March 2011)**. In addition, Suppliers must retain copies of attendance records for inspection purposes.

## 7.8 PARTICIPANT TRAVELLING EXPENSES

Where a participant incurs weekly travel costs of over £3, refund of the excess must be made to the participant by the Supplier. Suppliers must make each participant aware of the amount which the participant is entitled to claim.

The Department will make a contribution towards the cost of travel in respect of each participant, whether or not they incur expenses. The contribution payable will be based on the address of the Supplier's site with regard to the Contract Management Area in which they are based, and Suppliers must include travel allowances in the claim to which the period of travel relates. Details of the amounts payable at the standard rate are provided at **Annex 10**. The Supplier must enter the appropriate travel rate under the "Expenses" tab in TMS for each participant.

In cases where public transport costs are £50.00 or over written approval must be sought from Training Programmes Branch within **4 weeks** of the participant commencing Programme-Led Apprenticeship. Form **PLA 2** must be submitted to Training Programmes Branch and written approval granted before any claims are made via TMS.

Participants who use their own transport and who qualify for travel costs will be paid £0.25p per mile. Participants must pay the first £3 towards any weekly travel costs incurred. Written approval must be sought from Training Programmes Branch within 4 weeks of the participant starting to use their own transport. Form **PLA 2** must be submitted to Training Programmes Branch and written approval granted before any claims are made via TMS.

When public or private transport is deemed unsuitable for a participant with a disability, the cost of a taxi minus the first £3 will be reimbursed by the Department. Where taxi costs are £50 or over per week, written approval must be sought from Training Programmes Branch within **4 weeks** of the participant commencing Programme-Led Apprenticeship. Form **PLA 2** must be submitted to Training Programmes Branch and written approval granted before any claims are made via TMS.

In exceptional cases, it may be necessary for a participant to travel by taxi because public or private transport is not available. In these circumstances, taxis must be limited to/from the participant's home to the nearest public transport point. Approval procedures as outlined in the paragraph above apply. Three written quotations from properly insured and registered taxi firms must be obtained and Suppliers should only approve the cheapest quotations, and submit these to Training Programmes Branch when seeking approval for costs of £50 or over per week. Suppliers must ensure that quotations and receipts are retained and kept for audit purposes.

**Suppliers must ensure that payments for taxis are made directly to the taxi company and not the participant. The taxi company must provide the Suppliers with invoices. Suppliers must also retain copies of authorised expenditure records for inspection purposes.**

Payment of travelling expenses will automatically cease where relevant data is entered in to TMS in respect of:

- completion of training; or
- progression from Programme-Led Apprenticeships to ApprenticeshipsNI.

## **7.9 LODGING ALLOWANCE CLAIM**

In certain circumstances, a non-employed trainee may be eligible for Lodging Allowance. Where this is the case, Form **PLA 3** must be completed and forwarded to TPB.

## **7.10 APPLICATION FOR CHILDCARE PAYMENTS**

Suppliers must issue an application for Childcare Payments (Form **PLA 4**) to a Programme-Led Apprenticeships participant who may be eligible for financial assistance towards the cost of childcare. Suppliers must seek prior approval from Training Programmes Branch for childcare costs:

- in excess of £50 per child per week including VAT; and
- in respect of a child in receipt of Disability Living Allowance or who is registered blind and for whom care is essential.

Sections A, B and C of the form should be completed by the participant, the childminder, and the Supplier respectively and Section D by Training Programmes Branch where the claim exceeds £50 per week.

## **7.11 SPECIALIST SUPPORT, REFERRAL, INVOICING & PAYMENTS**

The Department will fund up to a maximum of £1,000 annually towards the provision of Specialist Support where the need has been identified in the participant's approved PTP. Where it is identified that the maximum funding available is not sufficient, written requests for approval of additional support funding **must** be made to TPB by the Supplier.

Each Specialist Support Provider has a contract with the Department to deliver services based on an hourly rate, details from Specialist Support Providers, see (**Annex 12**).

Where a participant's PTP specifies that extra support is required the Supplier will arrange for that support to be provided by the most appropriate Specialist Support Provider.

## **Referrals**

Form [PLA 6](#), Part A will be completed by the Supplier providing details of specialist support required. This form will be passed to the Specialist Support Provider who will arrange to deliver the required specialist support. The Specialist Support Provider will complete Part B of Form [PLA 6](#) setting out the nature of the support to be delivered, the method and the number of hours/part hours per week as well as the period for which specialist support will be required. The original form should be returned to the Supplier for retention. A copy should be retained by the Specialist Support Provider and a copy issued to Training Programmes Branch together with the invoice (see below).

## **Invoicing & Payment**

The Specialist Support Provider will invoice the Department directly on a monthly or quarterly basis by prior arrangement with Training Programmes Branch on Form [PLA 6B](#) (Batch Invoice). A separate monthly/quarterly Batch Invoice should be completed for each Training Supplier in which the specialist support is delivered, detailing trainee name, Client Id number, stating the date and support delivered and the delivery method.

Where the Specialist Support provider has provided group delivery this should be clearly recorded on the [PLA 6B](#) Batch Invoice form showing the support provided and the duration of the group session, e.g. 8 named participants by one hour group delivery. The individual cost per participant will be based on the contracted hourly rate/group rate divided by the number involved in the session. Group and individual delivery should be recorded separately on separate Batch Invoice Form.

A copy of each individual client referral should accompany the monthly/quarterly invoice.

The amount paid for each participant will be monitored to ensure that payments do not exceed the maximum £1,000.

## 7.12 OUTPUT-RELATED FUNDING (ORF)

### 7.12.1 ORF for Qualification Outcomes

Suppliers will receive ORF in accordance with the relevant funding table (**Annex 8**) in respect of a Programme-Led Apprenticeships participant who achieves a qualification outcome (i.e. Technical Certificate, Essential Skills, Full Framework), as specified in the PTP, subject to the following conditions being satisfied:

- A request for prior approval to claim ORF for a qualification outcome must be submitted to Supplier Services Branch (SSB) via TMS to CMS as soon as possible after the achievement, but **no later than 7 claim periods beyond the claim period in which the participant leaves** the Programme-Led Apprenticeships component. Certified evidence of achievement (i.e. a copy of a Certificate from an Awarding Body must be dispatched to SSB to validate the achievement on the same day as the TMS request for approval is dispatched to CMS. **A request for prior approval to claim is not regarded as being received in SSB until both the electronic version and hard copy evidence of achievement are received.** Staff in SSB will approve these requests on an individual basis, if all payment criteria are satisfied. All approved payments transmitted from TMS to CMS will be made via the next claim.
- If an Essential Skills qualification, then all relevant data **must** have been completed under the 'Course' tab information in TMS regarding the assessed, targeted and achieved levels of Essential Skills. The information regarding assessed and targeted levels **must** have been completed in TMS under the 'Course' tab facility on or before the dispatch of the original PTP to CMS (i.e. **within a maximum of 12 weeks** of the participant's date of commencement on the Programme-Led

Apprenticeships component, to allow input of registration with the appropriate awarding body for each element).

- It is important to note that only relevant Essential Skills data must be entered in these data fields. ORF in respect of Essential Skills will be limited to one payment of £100 per participant in respect of each Essential Skills qualification achieved, provided the level achieved is at least one level above the level at which the participant was assessed.
- **Failure to complete ‘Course’ field data at the appropriate time will mean that the claim for ORF will be made “valid” (i.e. non-paying and counting for statistical purposes only) by SSB staff.**
- When requesting prior approval to claim funding for the achievement of Milestones 1-4 in Programme-Led Apprenticeship, a Supplier **must** complete a Milestone Claim Form [PLA10](#) in respect of each Milestone and forward to Supplier Services Branch (SSB). The form should indicate whether the Milestone contains certified evidence of qualification achievement or not. It should be noted that only certified evidence (i.e. a copy of a Certificate from an Awarding Body in respect of qualification achievement) as it relates to the Milestone should be dispatched to SSB. If a Milestone includes non-certifiable evidence, this should be retained on site for inspection purposes.

### **7.13 ENFORCED INTERRUPTION TO TRAINING**

A participant whose period of training is interrupted due to pregnancy, custodial sentence, care order (excluding sickness and accidents) or where participant's placement in a school, playgroup has closed throughout July and August, must be withdrawn from the Provision. Where training has been withdrawn and the young person is in receipt of benefits from the SSA, the young person must notify their SSO/Jobs and Benefits Office of any change in their circumstances.

Where a participant has been placed in a school or playgroup setting which closes throughout July and August and for whom no suitable alternative placement can be found, the participant should be withdrawn from the programme and allowed to resume following the holiday period. Training Suppliers should make every effort to find a suitable alternative placement (eg a summer scheme) for such a trainee during July and August. A placement in a private household is not considered suitable.

Where training has been withdrawn, the Supplier must notify the local JobCentre/Jobs and Benefits Office/Careers Office immediately via TMS/CMS processes and completion of 'Enforced Interruption to Training'. The termination code 'Enforced Interruption' plus an actual end date for the participant must be entered into TMS. Form **PLA 7(A)** should also be completed and sent to the local JobCentre/Jobs and Benefits Office/Careers Office. When the Leavers Report is produced in the JobCentre/Jobs and Benefits Office/Careers Office via the Non-Immediate Printing facility the paper record should be noted accordingly.

When the participant resumes training, 'Resumption to Training following an Enforced Interruption' must be completed immediately and forwarded via TMS/CMS processes to the local Jobcentre/Jobs and Benefits Office/Careers Office as a new Training Credit for the balance of time must be obtained from the local JobCentre/Jobs and Benefits Office/Careers Office. The Start code 'Rejoining' must be used. Form **PLA 7B** must also be completed and sent to the local Careers Adviser.

#### **7.14 ACCIDENTS**

Suppliers are responsible for investigating accidents whether they occur on their own premises or on those of Training Partners.

"Reportable" accidents **must** be reported immediately to the Department of Enterprise, Trade and Investment, Health & Safety Executive for N. Ireland on form NI2508 entitled 'Reporting of an Injury or Dangerous Occurrence' which can be downloaded. Suppliers must comply with any statutory requirements to notify the relevant enforcing body of fatalities, certain injuries, diseases or dangerous occurrences. Full details are given in

Guidance Booklet RIDDOR (NI) 97. The Guidance Booklet and form NI2508 may be downloaded from <http://www.hseni.gov.uk/resources/codes-of-practice.htm>

**Suppliers must ensure that all reportable accidents are recorded on the TMS system.** Details of where the information to be input, can be found under the TMS console tree structure as follows:

- Management
- Client
- Accidents

## **7.15 FINANCIAL CONTROL AND ACCOUNTABILITY**

The Department has a duty to ensure that public money is used efficiently and effectively and that it is properly controlled and accounted for. For this reason, the Department employs a system of financial appraisal and monitoring which centres on the proper use of public money and the delivery of quality training. In addition, the Department will monitor and review the Supplier Performance Targets. Suppliers must be able to demonstrate that:

- they have the financial resources to fulfill their obligations under the Agreement;
- they operate effective financial systems and controls; and
- they maintain up-to-date accurate financial records.

Departmental staff will monitor Programme-Led Apprenticeships and will visit the Supplier or Training Partner during the year. They will wish to examine financial and attendance records, to carry out certain test-checks and also talk to a number of Programme-Led Apprenticeships participants about the payment of allowances, travel, and lodging costs.

The Department will require Suppliers at their own expense to:

- have any monthly Occupancy/Finance Statement certified by an independent accountant; and

- provide a report, by an independent accountant, on the financial resources available and the financial systems and controls operated in respect of monies received from the Department for the purposes of the Provision.

#### **7.15.1 Role of Financial Audit & Support Team (FAST)**

The Financial Audit & Support Team (FAST) provides the Department with a central and independent inspection and audit advisory service, the principle role of which is to provide the Accounting Officer with an assurance on the accountability of funding provided to external Suppliers. This assurance is provided by way of an annual report on the effectiveness of the financial systems, controls and compliance within organisations based on the findings of an annual programme of inspections. FAST's main objective is to safeguard Departmental funding against losses including those that might arise from ineligible claims, overpayments, irregularities or frauds.

#### **7.15.2 Role of Supplier Services Branch**

In the context of Programme-Led Apprenticeships, Supplier Services Branch (SSB) manages the claims processing for the range of provision which Suppliers have contracted with the Department to deliver, and the actioning of requests for prior approval to claim Output Related Funding (ORF) in regard to qualifications.

The Branch is also responsible for the design, testing, and implementation of any software packages to facilitate the submission and processing of claims, as well as providing ad hoc training and ongoing support for staff in the various Suppliers. A Help-Desk facility is provided for Suppliers in relation to software and business issues, and the team involved will refer queries of a more technical nature to the Fujitsu Support Team for resolution. The Help-Desk Team will assist with the development of a range of standard management information reports to support Programme-Led Apprenticeships. These reports contribute to key statistical data published in relation to the provision.

In addition, SSB has responsibility for the related policy and implementation of Educational Maintenance Allowance for unwaged participants on Programme-Led Apprenticeships.

### **7.15.3 Role of Quality and Performance Branch**

Quality & Performance Branch will focus on contract management and improving quality, the monitoring of Suppliers' performance in relation to compliance with procedures, and meeting the performance standards set out in the appropriate education and training contracts. It will aim to develop regular, consistent and robust reviews of Suppliers' performance to ensure consistently high standards and outcomes and value for money.

## **7.16 RETENTION OF RECORDS**

Details of information to support claims, e.g. in respect of childcare, lodgings or travel costs, attendance records, specialist support referrals etc., must be retained for inspection by the Department. Where appropriate, these should include invoices and receipts. Failure to provide satisfactory documentary evidence to support claims will result in reimbursement being disallowed and/or recovery of payments already made.

Training costs incurred under Training for Success (TfS) including, Programme-Led Apprenticeships, are part funded by the European Commission. Article 38 of Council Regulation (EC) No 1260/1999 requires that all records related to supported expenditure must be retained for 13 years. Suppliers should therefore keep safely, and ensure their Training Partners keep safely, all records financial and otherwise relating to TfS/PLA programmes. Suppliers should ensure that such records are kept in a manner which will enable all TfS/PLA programme income and expenditure to be identified separately from any other income and expenditure.

# **SECTION 8**

## **CAREERS SERVICE INPUT TO PROGRAMME-LED APPRENTICESHIPS**

## **8.0 CAREERS SERVICE INPUT TO PROGRAMME-LED APPRENTICESHIPS**

### **8.1 INTRODUCTION**

The Department for Employment and Learning's Careers Service is an all age guidance service that provides impartial careers guidance to people in education, training, employment, and to the unemployed. This is delivered through a network of Careers Advisers who are based in Careers Resource Centres/Offices, Job Centres and Jobs and Benefit Offices throughout Northern Ireland.

Careers programmes of Information, Advice and Guidance (IAG) are offered through Partnership Agreements with each School, FE College and Training Supplier. The Partnership Agreement sets out the Department's contribution to the careers programme.

Careers guidance is a developmental process through which young people are supported at key decision stages (13+, 16+, and 18+) and during the transition from school to further education, training or employment.

Within Programme-Led Apprenticeships the role of the Careers Service is to provide:

- Pre-entry guidance within education;
- Careers IAG that is appropriate to each participant's Career Guidance needs throughout their training period.

### **8.2 CAREERS ADVISER RESPONSIBILITIES FOR YOUNG PEOPLE CONSIDERING PROGRAMME-LED APPRENTICESHIPS**

#### **(i) Careers Information, Advice, and Guidance within Education**

The Careers Adviser will contribute to the schools Careers Education and Guidance programme, through the provision of the following Careers Guidance Interventions:

- Careers Guidance Interview
- Subsequent Guidance Interview
- Group Work
- Class Talks
- Attendance at Parent Teacher Meetings
- Transition Planning Meetings/Annual Reviews
- Diagnostic Tools

The Careers Adviser should request access to the following information, to assist the young person in making effective career decisions, leading to increased participation in appropriate education, training or employment.

- Statement of Special Educational Need
- Information from Transitional Plan Meetings
- Information on Literacy/Numeracy difficulties
- Other Information from the School – Academic potential/behaviour indicators i.e. attendance etc

(ii) **Entry Guidance for Programme-Led Apprenticeships Participants**

Potential participants for Programme-Led Apprenticeships may be categorised in three ways:

- Those who have **high readiness** for career decision making and who are in a position to self-refer to a Supplier of their choice. Careers Advisers will direct potential participants to local Suppliers of interest or direct them to <http://www.nidirect.gov.uk/trainingforsuccess>; or

- those who have **moderate readiness** for career decision making may require brief assistance in determining their career choice and preparing a plan of action. Careers Advisers will provide an appropriate intervention; or
- those who have **low readiness** for career decision making will require more in-depth assistance to determine their career choice. Careers guidance counselling will be a significant part of the intervention and will be provided by Careers Advisers to these potential participants.

(iii) **Referral of potential participants to Specialist Support Agencies**

- Where Programme-Led Apprenticeships is seen as the most appropriate provision for a client with a disability, the Careers Adviser will offer the use of the Pre-Entry Support Service to the young person and/or his/her parents/guardian.
- Parent/Guardian consent to share the young person's data with the appropriate Specialist Support Agency/Agencies must be obtained by the Careers Adviser using TfS 3a and TfS 3b.
- Once consent has been received, the referral form (TfS 3c) should be forwarded to the appropriate Specialist Support Supplier specifying the disability (ies) and the support required.
- A copy must be forwarded to Training Programmes Branch and the SENCO/Careers Teacher.
- A copy must be retained in the client's record.

(iv) **Careers Information, Advice, and Guidance with the Unemployed**

Careers IAG will be provided, appropriate to the participant's needs.

(v) **Careers Information, Advice, and Guidance within Programme-Led Apprenticeships**

- Careers Advisers will agree and review a Partnership Agreement (PA) with all Programme-Led Apprenticeships Suppliers.
- The PA will contain details of the Supplier's Careers Education programme as specified in the Supplier's contract.
- The Careers Adviser will meet with all Supplier staff yearly to clarify the role of the Careers Service and the Careers Adviser in Programme-Led Apprenticeships. The PA will also provide details of a named staff member who will act as a liaison and referral co-ordinator, referring participants to the Careers Service for careers information, advice and guidance. The need for referral can be determined by the participant, the Supplier, or the Careers Adviser. There may be times throughout a participant's training when further careers information, advice and guidance is required to assist the participant in making appropriate careers decisions, and this should be considered on an individual needs basis.
- The Careers Adviser must negotiate a time slot to be in attendance at the Supplier premises, a minimum of one visit per month from September to the end of December and thereafter as appropriate.
- The Supplier and the Careers Adviser will review the effectiveness of the PA on an ongoing basis and, if problems arise, the Careers Manager must be notified and appropriate action taken.
- The Training Supplier should make known to the Careers Adviser(s) any information which has been authorised for disclosure by the participant which may impact on the participant's career plans.

- A Careers Adviser will contribute to the participant's training induction by meeting with groups of participants to explain the role and availability of the Careers Adviser throughout the training period. Careers Advisers must contribute to the induction within the specified four week induction period. (A presentation will be available for Careers Advisers to use in the induction).
- A participant identified through the 'mismatched client' functionality as not having received a Careers Guidance Interview (CGI) must be offered a CGI within 7 working days of registration as per paragraph 8.9 below. Careers Managers must review this process.

### **8.3 FUNDING FOR PARTICIPANTS WITH A DISABILITY**

Careers staff must ensure that all information pertaining to a client's disability is input into the "Details" section of CMS. This will aid the consideration of funding to Suppliers for those participants requiring this funding support as per CSSU Memo 27/09.

Programme-Led Apprentice Suppliers will submit requests for approval of funding for participants with a disability via TMS/CMS. Careers staff will consider these requests on CMS if the Careers Service holds relevant client information confirming the request. Where the Careers Service does not hold relevant information pertaining to the client's disability the request must be rejected on CMS.

### **8.4 REJOINERS TO PROGRAMME-LED APPRENTICESHIPS**

A "Rejoiner" is anyone who has previously participated in and is returning to the same strand of training and for whom a termination code has been entered.

Rejoiners to Programme-Led Apprenticeships will require a Training Credit in order to re-register in training. Suppliers must complete form **PLA 8** and forward to the mailbox of their local Careers office at the earliest opportunity. A Training Credit will be issued for the balance of training time, and returned to the Supplier. The balance of training shall be calculated by subtracting the amount of time (in full weeks) spent in Programme-Led Apprenticeships provision from 104 weeks.

## **8.5 CONFIDENTIALITY IN THE ASSESSMENT PROCESS**

Confidentiality and understanding are particularly important issues when dealing with client information. Access to, recording and transfer of client information must be managed as per CSSU Memo 27/09.

## **8.6 LIAISON**

It is important that there is close liaison between the Careers Adviser and the Supplier, to ensure that participants are progressing towards their chosen training objectives. [Paragraph 8.2 \(v\)](#) [see also para [3.20](#)] is considered to be a mechanism to enhance the relationship between the Supplier and the Careers Service, while developing rapport between the participant and the Careers Service and ultimately improving the participant's access to appropriate and timely careers information, advice and guidance. Where a Careers Adviser has concerns about the quality of training provision, they are required to bring this information to the attention of their Careers Manager for referral to Quality and Performance Branch.

## **8.7 ACCOMMODATION**

Careers Advisers should seek the co-operation of Suppliers in gaining access to the participant at all times. Suppliers **must** ensure that suitable accommodation and resources are provided to ensure the confidentiality of the interview and compliance with child protection legislation.

## **8.8 UNMATCHED CLIENTS**

Careers Support Staff have been given access to the 'Unmatched Clients' functionality on CMS. To register a client on Programme-Led Apprenticeships the Training Supplier will enter a client's details on TMS which will then export this to CMS. The client data entered on TMS will either match with data held in CMS or there will be a mismatch. Where there is a correct match the client will automatically start on the Programme-Led Apprenticeships.

- When the details of the client registered on TMS, for the Programme-Led Apprenticeships programme, do not match the client details held on CMS, Careers Support Staff will process Unmatched Clients as per CSSU Memo 16/08 Addendum 1 and CMS Software Release 10G\_9\_19<sup>th</sup> November 2008.
- Careers Support Staff must investigate if the mismatched client has had a careers guidance interview with a Careers Adviser.
  - If Careers Support staff identify that the mismatched client has not had a careers guidance interview, they must provide the names of these young people to the Careers Adviser case-loaded to that Training Supplier and to the Careers Manager.
  - The Careers Adviser must make arrangements to complete a Careers Guidance Interview (CGI) with the young person within 7 working days.
  - Careers Support staff should 'match' the client details in order for the client to be registered on Programme-Led Apprenticeships.
  - The Careers Adviser will open a new client case record after the CGI.

Careers Support Staff will process the client details of those registering to Programme-Led Apprenticeships. The processing of client details for ApprenticeshipsNI will be completed by Training Programmes Branch.

When registering a participant to Programme Led Apprenticeships on TMS, Suppliers are reminded that they should select their local **Careers Office/JobCentre** in the Location tab and **not Headquarters**.

## **8.9 STARTS AND LEAVERS NOTIFICATIONS**

Careers Support Staff **must** review the details of all starts and leavers, by Supplier, and provide the appropriate Careers Adviser with details of the Programme-Led Apprenticeships Early Leavers. The Careers Adviser must ensure that this young person is followed up with letter CS0021.

## **8.10 RECORDING CLIENT CONTACTS**

All client contact must be recorded as per the CMS Activity Recording Guidelines.

# **SECTION 9**

## **MARKETING**

## **9.0 MARKETING**

### **9.1 MARKETING BY THE DEPARTMENT**

As Programme-Led Apprenticeships is a contingency measure during the economic downturn it will not be marketed by the Department as a separate entity. Suppliers are also urged not to market this programme as a separate entity and are advised that the Department's preferred training route and progression will remain as ApprenticeshipsNI/Employment.

# **ANNEXES**

# PERSONAL TRAINING PLAN

## PARTICIPANT DETAILS

Name	<input type="text"/>	Address	<input type="text"/>
Client Reference No	<input type="text"/>		<input type="text"/>
DOB	<input type="text"/>	Postcode	<input type="text"/>
Gender	<input type="text"/>	Home Tel No	<input type="text"/>
NI Number	<input type="text"/>	Mobile Tel No	<input type="text"/>
Disability	Yes No	Contact Tel No	<input type="text"/>
Parent/Guardian	<input type="text"/>	E-mail Address	<input type="text"/>

## COMPONENT DETAILS

Component Name	<input type="text"/>	Component Duration	<input type="text"/>
Start Date	<input type="text"/>	Expected End Date	<input type="text"/>
Hours of Attendance	<input type="text"/>		<input type="text"/>

## PARTICIPANT BACKGROUND

### Qualifications & Achievements

Qualifications/Awards	Awarding Body	Level/Grade	Date	Copy Received (yes/no)

### Previous Work Experience/Employment

Employer	To	From	Duties

### Hobbies and Interests

### Career/Employment Objectives

## RESULTS OF INITIAL AND DIAGNOSTIC ASSESSMENTS

### Essential Skills

<b>Literacy</b>	<b>Reading</b>	<b>Writing</b>	<b>Speak/Listen</b>

### Competency Level/Development Considerations

<b>Numeracy</b>	<b>Number</b>	<b>Handling Data</b>	<b>MSS</b>

### Competency Level/Development Considerations

<b>ICT</b>	<b>Keyboard Skills</b>	<b>Programs/Applications</b>	<b>Hardware</b>

### Competency Level/Development Considerations

### Occupational Skills

Skill	No Development	Limited Development	Developed	Well Developed
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4

### Learning Needs/Identified Barriers To Employment from the Baseline Interview

**Comment (Summative evaluation of personal profile including preferred learning style/s and additional Learning Needs)**

# TRAINING ARRANGEMENTS

## Target Qualifications:

Qualification Unit Title:	RORQ:	Tutor/ Location	Target Date
<b>Milestone Targets</b>	<b>Delivery Method</b>		
<b>1</b> <b>(25%-30%)</b>			
<b>2</b> <b>(50%-55%)</b>			
<b>3</b> <b>(75%-80%)</b>			
<b>4</b> <b>(Full Achievement)</b>			

## Essential Skills

	RORQ	Target Level	Tutor/ Location	Target Date
Literacy				
Numeracy				
ICT				

## Other Enhancements/Qualifications/Courses

Qualification Unit Title	RORQ	Tutor	Location	Target Date

## Other Support Arrangements (including Specialist Support)

Descriptor	Responsible	Desired Outcome

### Job Preparation/Job Search

Qualification/Objectives	Tutor	Target Date

### Transferable Skills

Short term targets to be met prior to being considered for employment	No Development	Limited Development	Developed	Well Developed
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4

### WORK-BASED LEARNING PLACEMENT (See Delivery Agreement)

Employer		Start Date	
Contact		Duration	

### STATEMENT OF PARTICIPANTS TRAINING OBJECTIVES

Under the Programme-Led Apprenticeships arrangements I ....

### PTP REVIEW

Participant's progress towards the targets and objectives of this Programme-Led Apprenticeship PTP will be reviewed every 6-8 weeks.

Participant		Date	
Organisation representative		Date	

**Review and Monitoring (Complete new sheet for each Review)**

	<b>Review Date</b>	<b>Targets Date</b>
<b>Targeted Qualifications</b>		
Essential Skills		
Occupational Skills		
Other		
Action required		

Learner	
Supplier	

## Learning Pathway Amendments

Date	Issue/s	Action/Intervention	Outcome/s

## Progression/Career Development

Guidance and advice on progression routes and careers has been given	Yes	No
--	-----	----

List Skills/Experience gained from Work-Based Learning to date

Qualifications achieved from PTP (final review)

Select What job, What are you like and Careers Quiz.  
HE [www.nidirect.gov.uk/careers](http://www.nidirect.gov.uk/careers)  
Select Where do I start, Not sure what you want to do, then Career Development Tools

What are the next steps for you?

Learner		Date	
Tutor		Date	

# INDUCTION

Please list indicators that are appropriate (**insert organisation name and occupational area**)

I have been advised that my Supplier is in full compliance with Section 75 of the Northern Ireland Act 1998 and 2004 SENDO legislation

I have received a general induction to the Supplier's premises, including emergency exits, fire drill, assembly points, and domestic facilities

I have received a formal induction about my training, including terms and conditions (including sickness, hours of attendance, holidays, and travel conditions and allowances)

I have attended formal induction and assessment for the outcomes detailed in my Personal Training Plan

I have attended formal induction and assessment for Essential/Key Skills

I have read and agree with the statements regarding what is expected of me

I have started to complete a Progress File

I have received a copy of the Learner Handbook/Course Handbook

I have been informed about issues relating to Health & Safety

I have received information on learner support services

I have received information on the Supplier's complaints and formal appeals procedure.

I am aware of my key contact person

I have received information on progression routes and career opportunities.

I have received information on the Careers Service contact for this Supplier

When learner enters work-based learning placement, further induction is to be completed

Learner Sign/Date		Organisation Sign/Date	
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## Annex 2

### Programme-Led Apprenticeships Personal Training Plan (PTP) Supplier Checklist

Initial Submission	Circle One
Has the initial quantitative PTP been submitted on TMS to enable it to be Approved/Rejected?	Yes No
Has the PTP been submitted outside the timescale, in which case it will be Validated/Rejected?	Yes No
Have all sections been completed to reflect unique learner requirements?	
Careers/Employment Objectives?	Yes No
Training Objectives?	Yes No
Skills?	Yes No
Other Enhancements?	Yes No
Training Arrangements?	Yes No
Support?	Yes No
Milestones?	Yes No
Does the PTP reflect the outcomes of Initial Assessment/ Induction Activities?	Yes No
Have Essential Skills Initial Assessment results/targets been recorded?	Yes No
Are all the milestones relevant to individual learner needs?	Yes No
Does the PTP reflect your own notes/information on this learner?	Yes No
Have all Stakeholders' programme inputs been included in the PTP (e.g. Work-based Learning Placement Provider, training staff etc...)?	Yes No
Are there SMART targets for each objective to be achieved?	Yes No
Have monitoring arrangements been included for the achievement of objectives?	Yes No
Has an assessment for specialist support been completed?	Yes No
Has a referral to a Specialist Support Provider taken place, if required?	Yes No
Do the work-based learning placement details reflect the learner's employment objectives?	Yes No
Is the duration of work-based learning placement outlined with anticipated increase?	Yes No
Does the PTP clearly demonstrate the necessary training arrangements to enable the learner to achieve their overall programme objectives?	Yes No

Ongoing Review	Circle One	
Is the PTP unique and not the same as every other one generated within the vocational area / your organisation?	Yes	No
Does the PTP need to be resubmitted, if so, has additional content been agreed/included?	Yes	No
Can resubmission allow approval to take place?	Yes	No
Has the PTP been updated regularly throughout the programme?	Yes	No
When milestones have been achieved has the PTP been updated	Yes	No
Has the PTP been updated before Progression Interview takes place	Yes	No

## Annex 3

# DELIVERY AGREEMENT

### 1. Employer Details

Company Name (Print) \_\_\_\_\_  
 Nature of Business \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Postcode \_\_\_\_\_  
 Telephone Number \_\_\_\_\_  
 Name of Contact (print) \_\_\_\_\_  
 Position \_\_\_\_\_  
 Contact for Learner \_\_\_\_\_  
 Position \_\_\_\_\_  
 Duration of Placement \_\_\_\_\_

Insurance Details (To include level of Cover/Policy No)?	
Provider	_____
Expiry Date	_____

### 2. Programme-Led Apprenticeships Participant Details

Name (Print) \_\_\_\_\_  
 Address \_\_\_\_\_  
 \_\_\_\_\_  
 Postcode \_\_\_\_\_  
 Date of Birth \_\_\_\_\_  
 National Insurance Number \_\_\_\_\_  
 Contact Number \_\_\_\_\_

### 3. Supplier Details

Supplier \_\_\_\_\_  
 Address \_\_\_\_\_  
 \_\_\_\_\_  
 Postcode \_\_\_\_\_  
 Telephone Number \_\_\_\_\_  
 Contact Name (print) \_\_\_\_\_

#### **4. Programme-Led Apprenticeships - Employer Responsibilities**

- 4.1 To provide the experience, facilities, and training necessary to achieve the training objective as discussed and agreed with the *Programme-Led Apprenticeships* participant and specified in the Personal Training Plan.
- 4.2 To comply with all relevant legal and contractual responsibilities in respect of health and safety, and to take steps to ensure equality of opportunity, regardless of community background, gender, marital status, disability, race, political opinion, sexual orientation, age, or dependents.

#### **5. Programme-Led Apprenticeships - Participant Responsibilities**

- 5.1 To discuss and agree the Personal Training Plan with the Supplier and, on a regular basis, jointly review progress towards the achievement of objectives.
- 5.2 To be diligent and punctual in work and training; and to strive consistently and conscientiously towards achieving each of the objectives set out in the Personal Training Plan.
- 5.3 To behave at all times in a responsible manner and in accordance with health and safety requirements; and to promote the best interests of the employer.
- 5.4 To commence/continue the completion of a personal Progress File and demonstrate commitment to the principles of identifying and recording achievement throughout the Programme-Led Apprenticeships training.

#### **6. Programme-Led Apprenticeships -Supplier Responsibilities**

- 6.1 To monitor the training of the Programme-Led Apprenticeships participant and confirm that the Supplier's quality assurance requirements, including health and safety obligation, are being met.
- 6.2 To assist the Programme-Led Apprenticeships participant to identify and record their achievement throughout the work-based learning placement period.

**Employer - Skills Activities (on-the-job training)**

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**Attendance Arrangements**

--

**Programme-Led Apprenticeships Participant – Experience/Outcomes**

--

**Supplier - Learning Activities (off-the-job training)**

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**Attendance Arrangements**

--



**We, the undersigned, have read this Agreement and accept the terms contained within it. It is understood that the Agreement does not constitute the basis of a contract of employment between any of the participating persons or organisations. A copy of this Agreement will be held by each of the undersigned**

Signed \_\_\_\_\_ Name (Print) \_\_\_\_\_ Date \_\_\_\_\_  
(Employer)

Signed \_\_\_\_\_ Name (Print) \_\_\_\_\_ Date \_\_\_\_\_  
(Participant)

Signed \_\_\_\_\_ Name (Print) \_\_\_\_\_ Date \_\_\_\_\_  
(Supplier Authorised Signatory)

## Delivery Agreement – Completion of Placement Feedback/Evaluation

Employer	Please comment on Learner
<b>Objectives Achieved</b>	
<b>Punctuality</b>	
<b>Attitude/Motivation</b>	
<b>Working Relationships</b>	
<b>Evaluation (Learner/Supplier)</b>	

Programme-Led Apprenticeships Participant	Please comment on your placement
<b>My Workplace Learning Experience</b>	
<b>My Punctuality</b>	
<b>My Attitude/Motivation</b>	
<b>My Working Relationships</b>	
<b>My Evaluation (Placement/Supplier)</b>	

Supplier	Future activities for learner	
<b>Employer - Sign/Date</b>	<b>Learner- Sign/Date</b>	<b>Supplier- Sign/Date</b>

## PROGRAMME-LED APPRENTICESHIPS PROGRAMME CONTENT

### Programme-Led Apprenticeships - Level 2

Up to 4 week assessment for new starts



**Year 1**  
**(Start Sept 2009)**

A minimum of 40%/60% ratio directed training to work-based learning placement based on a minimum of 30 learning hours per week (with an opportunity for up to 6-8 weeks block placement in year one)

Achieve or work towards achieving Technical Certificate – Level 2 (to include a good quality and relevant industry related skills training)

Achieve Essential Skills – required by the apprenticeship framework

Work towards achievement of NVQ Level 2

Undertake a programme of Employability, Enterprise and Careers Education Tuition



**Year 2**  
**(Start Sept 2010)**

A minimum of 40%/60% ratio directed training to work-based learning placement based on a minimum of 30 learning hours per week (with an opportunity for up to 6-8 weeks block placement in year two)  
work-based learning placement

Achieve by week 78 a Technical Certificate – Level 2 (to include a good quality and level of industry related skills training)

Start Technical Certificate – Level 3

Achieve NVQ - Level 2 by week 104

Achieve Essential Skills –Required by the framework

Undertake a programme of Employability, Enterprise and Careers Education Tuition



## Annex 5

### USEFUL CONTACTS

NAME	ADDRESS	TEL	FAX	WEB
Equality Commission for Northern Ireland	Information & Advice Team Equality House 7-9 Shaftesbury Square Belfast BT2 7DP	(028) 9050 0600		<a href="http://www.equalityni.org">www.equalityni.org</a>
DEL Communications Branch	DEL Adelaide House 39/49 Adelaide Street Belfast BT2 8FD	(028) 9025 7518		<a href="http://www.delni.gov.uk">www.delni.gov.uk</a>
Office of Qualifications & Examinations Regulations	Ofqual Northern Ireland 2nd Floor Glendinning House 6 Murray Street Belfast BT1 6DN	(028) 9033 0706	(028) 9023 1621	<a href="http://www.ofqual.gov.uk">www.ofqual.gov.uk</a>
DEL Quality and Performance Branch	1 <sup>st</sup> Floor Waterfront Plaza 8 Laganbank Road BELFAST BT1 3LY	(028) 9044 1910	(028) 9044 1861	<a href="http://www.delni.gov.uk">www.delni.gov.uk</a>

**Annex 6**  
**(Rev March 2011)**

**TIMETABLE FOR PROGRAMME-LED APPRENTICESHIPS 2011/12**

<b>CLAIM PERIOD</b>	<b>WEEK COMMENCING</b>	<b>WEEK ENDING SUNDAY</b>	<b>TO BE IN SUPPLIER SERVICES BY FRIDAY</b>
<b>1</b>	<b>14/03/11</b>	<b>10/04/11</b>	<b>22/04/11</b>
<b>2</b>	<b>11/04/11</b>	<b>08/05/11</b>	<b>20/05/11</b>
<b>3</b>	<b>09/05/11</b>	<b>05/06/11</b>	<b>17/06/11</b>
<b>4</b>	<b>06/06/11</b>	<b>03/07/11</b>	<b>15/07/11</b>
<b>5</b>	<b>04/07/11</b>	<b>31/07/11</b>	<b>12/08/11</b>
<b>6</b>	<b>01/08/11</b>	<b>28/08/11</b>	<b>09/09/11</b>
<b>7</b>	<b>29/08/11</b>	<b>25/09/11</b>	<b>07/10/11</b>
<b>8</b>	<b>26/09/11</b>	<b>23/10/11</b>	<b>04/11/11</b>
<b>9</b>	<b>24/10/11</b>	<b>20/11/11</b>	<b>02/12/11</b>
<b>10</b>	<b>21/11/11</b>	<b>18/12/11</b>	<b>30/12/11</b>
<b>11</b>	<b>19/12/11</b>	<b>15/01/12</b>	<b>27/01/12</b>
<b>12</b>	<b>16/01/12</b>	<b>12/02/12</b>	<b>24/02/12</b>
<b>13</b>	<b>13/02/12</b>	<b>12/03/12</b>	<b>23/03/12</b>



## Annex 7

### Programme-Led Apprenticeships

### Enrolment/Equality Monitoring Form

The following data is also captured in respect of the Department for Employment & Learning equality monitoring policy. Completion of information is voluntary - Personal details will be treated in strict confidence and the information provided will **NOT** be used for any purpose other than the monitoring described above.

#### 1. GENERAL DETAILS

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Post Code: \_\_\_\_\_ Tel. No: \_\_\_\_\_

#### 1. General Details Continued

Date of Birth  Your age today

Are you: Male  Female

#### 2. PERSONAL DETAILS

##### What is your Marital Status?

Divorced  Living with Partner  Married   
Separated  Single  Widowed   
Not Stated

**Number of dependants?**

If applicable, please list below.

Name	Date of Birth	Age	Sex
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Which one of the following groups do you consider you belong to?**

- White  Black African  Bangladeshi   
Chinese  Black Caribbean  Pakistani   
Indian  Black Other  Irish Traveller   
Malaysian  Vietnamese   
Mixed Ethnic Group  Other Ethnic Group

**What is your religious affiliation?**

- Roman Catholic  Protestant   
Other  Unknown/Refused

**My sexual orientation is towards someone:**

- Of the same sex  Of the opposite sex  Of the same sex and of the opposite sex

**Do you belong to any of the following groups?**

- Lone parent  Migrant  Other disadvantaged

**Lone Parents:** Any lone parent with dependant children (children aged under 16 and those aged 16-18 who have never married and are in full-time education).

**Migrants:** A migrant is someone from outside the UK and Ireland who is resident here for a period of at least 12 months (one year).

**Other disadvantaged:** This can include, for example drug and alcohol misusers or ex-prisoners.

**Do you have a disability or health condition?**

Yes

No

**Disability and health condition** refers to participants who have a current disability covered by the 1995 Disability Discrimination Act, defined as a physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities.

**National Insurance Number:**

**Qualifications**

**What is the highest qualification (or equivalent) that you hold?**

Below NVQ Level 1  NVQ Level 1  NVQ Level 2

NVQ Level 3  NVQ Level 4  No qualifications

Other - please detail

Please tick one of the boxes to show the highest level qualification you have. The qualification you have received may be equivalent to a specific NVQ level. Use the table at the end of this Enrolment form to find out the level of your qualification.

## **GUIDANCE NOTE**

### **1. GENERAL DETAILS**

Please include the following details:

- Your name, address, postcode and telephone number.
- Your date of birth and age.
- Your gender

### **2. PERSONAL DETAILS**

#### **What is your marital status?**

Please tick the relevant box to indicate which group you feel you belong to.

- Divorced
- Living with Partner
- Married
- Separated
- Single
- Widowed
- Not Stated

(Section 75 of the Northern Ireland Act 1998 – Department for Employment and Learning scheme)

#### **Number of Dependants?**

Please insert your number of dependants in the box.

If applicable please complete the details of each of the dependants including – name, date of birth, age & sex.

#### **Which one of the following groups do you consider you belong to?**

Please tick the relevant box to indicate which groups you feel you belong to.

- White
- Black African
- Black Caribbean
- Black Other
- Bangladeshi
- Chinese
- Pakistani
- Indian
- Irish Traveller
- Malaysian
- Vietnamese
- Mixed Ethnic Group
- Other Ethnic Group

(Section 75 of the Northern Ireland Act 1998 – Department for Employment and Learning scheme)

### **What is your religious affiliation?**

Please tick the relevant box to indicate which groups you feel you belong to.

- Roman Catholic
- Protestant
- Other
- Unknown/Refused

(Section 75 of the Northern Ireland Act 1998 – Department for Employment and Learning scheme)

### **Do you belong to any of the following groups?**

Please tick relevant box if you feel you belong to any of the following groupings;

**Lone Parents:** Any lone parent with dependant children (children aged under 16 and those aged 16-18 who have never married and are in full-time education).

**Migrants:** A migrant is someone from outside the UK and Ireland who is resident here for a period of at least 12 months (one year).

**Other disadvantaged:** This can include, for example drug and alcohol misusers or ex-prisoners.

### **Do you have a disability or health condition?**

Please tick relevant box to indicate if you have a disability or health condition.

**Disability and health condition** refers to participants who have a current disability covered by the 1995 Disability Discrimination Act, defined as a physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities.

### **National Insurance Number**

Please insert your National Insurance Number.

## ACADEMIC/VOCATIONAL QUALIFICATION LEVELS

Level	Academic NVQ qualification name	Vocational qualification name
<b>Non-NVQ Level 0</b>	<b>RSA Word Power</b> RSA Number Power CLAIT	
<b>Level 1</b>	GCSE/SCE/O-level grades below C (or fewer than 5 at grades A-C) CSE grades below 1 1 AS level	<b>BTEC/SCOTBTEC/SQA - First Certificate</b> BEC/SCOTBEC – General Certificate/Diploma City & Guilds – Operative Awards CPVE - Year 1 (Technician) LCCI/RSA/PEI – Elementary/First Level RSA – Vocational Certificate Foundation GNVQ/GSVQ NVQ/SVQ Level 1
<b>Level 2</b>	5 or more GCSE/SCE/O-level grades at A-C CSE grade 1 1 A level pass 2 or 3 AS levels	BTEC/SCOTVEC/SQA – First diploma BEC/SCOTBEC/BTEC/SCOTVEC/SQA General Certificate/Diploma <i>with Credit</i> City & Guilds – Higher Operative/craft LCCI – Certificate/ Second level PEI - Stage 2 Pitmans – Intermediate Level 2 Diploma Certificate RSA – Diploma Intermediate GNVQ/GSVQ NVQ/SVQ Level 2 ECDL
<b>Level 3</b>	2 or more A level passes 4 or more AS Levels	BEC/SCOTBEC BTEC/ SCOTVEC/SQA - National OND/O TEC/SCOTEC – Certificate/Diploma City & Guilds – Advanced Craft LCCI - Third Level Diploma Pitmans – Level 3 Advanced Higher Certificate RSA - Stage 3 Advanced Diploma Advanced GNVQ/GSVQ Access to Higher Education Courses Advanced awards in ESOL and foreign languages NVQ/SVQ Level 3
<b>Level 4</b>	Teaching qualifications (including PGCE) First degree	BEC/SCOTBEC/ BTEC/ SCOTVEC/SQA – HND/HNC TEC/SCOTEC – Higher Certificate/Diploma LCCI – Advanced level RSA - Advanced Certificate/Higher Diploma Diploma in Higher Education Nursing (SRN) Certificate in Higher Education NVQ/SVQ Level 4

## FUNDING TABLE/PRIORITY SKILLS AREAS

### FUNDING GROUPS

<b>Group 1</b>
<ul style="list-style-type: none"> <li>• Administration</li> <li>• Finance and Law</li> <li>• Retailing</li> </ul>
<b>Group 2</b>
<ul style="list-style-type: none"> <li>• Business Studies</li> <li>• General Computing, Familiarisation and Data Processing</li> <li>• Leisure</li> <li>• Marketing and Advertising</li> <li>• Transport Operations</li> </ul>
<b>Group 3</b>
<ul style="list-style-type: none"> <li>• Fishing</li> <li>• Hair and Cosmetics</li> <li>• Processing</li> <li>• Social Work and Care for Specialist Groups</li> <li>• Storage/Warehousing</li> </ul>
<b>Group 4</b>
<ul style="list-style-type: none"> <li>• Agriculture</li> <li>• Computer Science</li> <li>• Food Preparation and Cooking</li> <li>• Food Service</li> <li>• Horticulture</li> <li>• Hotel/Inn Keeping</li> <li>• Management and Advanced Training</li> <li>• Veterinary</li> </ul>
<b>Group 5</b>
<ul style="list-style-type: none"> <li>• Building Trades: Brick, Paving, Stone</li> <li>• Building Trades: Wood, Glazing, Plain, Plaster, Tile</li> <li>• Civil Engineering and Construction</li> <li>• Motor Vehicle Repair and Maintenance</li> <li>• Printing and Book Production</li> </ul>
<b>Group 6</b>
<ul style="list-style-type: none"> <li>• Electrical Engineering</li> <li>• Electronic Engineering</li> <li>• Mechanical Engineering</li> <li>• Plumbing, Heating &amp; Ventilation, Refrigeration</li> </ul>

PROGRAMME-LED APPRENTICESHIP FUNDING CATEGORIES							
Funding	1	2	3	4	5	6	Disability Supplement (See Note 4)
	£	£	£	£	£	£	£
Start Payment (See Note 1)	300	300	300	300	300	300	560
Weekly Training Fee	55	55	55	55	55	55	
<b>Milestone Payments (See Note 2)</b>							
Achievement of 20% - 25 % of Apprenticeship Framework Units	350	400	450	650	700	750	200
Achievement of 40% - 45 % of Apprenticeship Framework Units	350	400	450	650	700	750	200
Achievement of 60% - 65 % of Apprenticeship Framework Units	350	400	450	650	700	750	200
Achievement of 80%-85% of Apprenticeship Framework Units	350	400	450	650	700	750	200
<b>Output Related Funding (See Note 3)</b>							
Achievement of Essential Skills	300	300	300	300	300	300	0
Achievement of NVQ level 2	300	350	400	500	550	600	200
Achievement of Full Apprenticeship Framework	300	350	400	750	800	850	0
<b>Weekly Training Fee 104 X 55</b>	<b>5720</b>	<b>5720</b>	<b>5720</b>	<b>5720</b>	<b>5720</b>	<b>5720</b>	
<b>Overall Available Funding</b>	<b>8,320</b>	<b>8,620</b>	<b>8,920</b>	<b>10,170</b>	<b>10,470</b>	<b>10,770</b>	<b>1,560</b>
<b>EMA 104 weeks X £40</b>	<b>4160</b>	<b>4160</b>	<b>4160</b>	<b>4160</b>	<b>4160</b>	<b>4160</b>	

1. A Start Payment will be paid on approval of PTP by the Department which must be claimed within **6** weeks of the start date.
2. Milestone payments will be paid on completion of milestones/units of agreed Framework. To calculate percentage achievement, the completion of whole units or parts of units within the Framework should be considered.
3. Output Related Funding will be payable on achievement of
  - Essential Skills;

**NB** Essential Skills should be delivered in line with best practice guidelines and payments will be made on achievement of Essential Skills at appropriate level within the Level 2 Apprenticeship Framework in question. ORF is limited to one payment of £100 per participant in respect of **each** Essential Skill of Communication, Application of Number and ICT as required by the Apprenticeship Framework being undertaken.

  - NVQ Level 2; and
  - Full Apprenticeship Framework, i.e. including the Technical Certificate when required.
4. A supplement may be payable in respect of people with a disability to help a Supplier provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training.
5. Participants will receive a weekly Educational Maintenance Allowance of £40.00 per week.



## Annex 9A

### ***SPECIMEN RECORD OF VERBAL WARNING***

**TO:** ..... **DATE:** .....  
(Name of Participant)

#### ***VERBAL WARNING***

This is to confirm that an oral warning was given to you on ..... and has been noted on your training record. This warning was in respect of (here detail reason for warning).

It is hoped that there will be no need for further action, but if there is not an immediate and sustained improvement in your conduct/performance you will receive a written warning, as detailed in the disciplinary procedures. If your conduct/performance remains satisfactory over the next 3 months the copy of this note will be removed from your training record.

Signed on behalf of the Supplier

.....

.....

(Name of Supplier)

I acknowledge receipt of this confirmation of the verbal warning given to me on .....  
and understand its implications.

Signed: .....  
(Participant)

Date: .....

Witnessed by: .....

**1 COPY TO PARTICIPANT**  
**1 COPY TO PARTICIPANT'S RECORDS**  
**1 COPY TO CAREERS ADVISER**



## Annex 9B

### ***SPECIMEN FIRST WRITTEN WARNING***

**TO:** ..... **DATE:** .....  
(Name of Participant)

### ***FIRST WRITTEN WARNING***

This is a written warning about your conduct/performance and a copy of it has been placed on your training record. It is issued to you because (here detail reason for warning).

You are warned that if there is not an immediate and sustained improvement in your conduct/performance you will receive a final written warning, as detailed in the disciplinary procedures. It is hoped, however, that there will be no need for further action and if your conduct/performance remains satisfactory over the next 3 months the copy of this warning will be removed from your training record.

Signed on behalf of the Supplier

.....

.....

(Name of Supplier)

I acknowledge receipt of this written warning and understand its implications

Signed: .....  
(Supplier)

Date: .....

Witnessed by: .....

**1 COPY TO PARTICIPANT**  
**1 COPY TO PARTICIPANT'S RECORDS**  
**1 COPY TO CAREERS ADVISER**



**Annex 9C**

***SPECIMEN FINAL WRITTEN WARNING***

**TO:** ..... **DATE:** .....  
(Name of Participant)

***FINAL WRITTEN WARNING***

This is a final written warning about your conduct/performance and a copy of it has been placed on your training record. It is issued to you because (here detail reason for warning).

You are warned that if there is not an immediate and sustained improvement in your conduct/performance a recommendation will be made to the Department for Employment and Learning that you should be dismissed from Programme-Led Apprenticeships. It is hoped that there will be no need for such action and if your conduct/performance remains satisfactory over the next 3 months the copy of this warning will be removed from your training record.

Signed on behalf of the Supplier  
.....  
.....  
(Name of Supplier)

I acknowledge receipt of this written warning and understand its implications

Signed: .....  
(Participant)

Date: .....

Witnessed by: .....

- 1 COPY TO PARTICIPANT**
- 1 COPY TO PARTICIPANTS'S RECORDS**
- 1 COPY TO CAREERS ADVISER**



## Annex 9D

### ***SPECIMEN DISMISSAL / SUSPENSION LETTER\****

Dear

I regret to inform you that it has become necessary to end your period of training at

.....

with effect from ..... due to .....

Because of this you will not be permitted to re-enter training under Programme-Led Apprenticeships until a period of 8 weeks/13 weeks,\* has elapsed since your last day of training. If, at that stage, you are eligible to rejoin and wish to do so, you will be required to sign an undertaking that you will abide by the normal code of conduct and attendance stipulated by the Supplier.

You have a right to appeal against this decision. If you wish to do so, you should write to the Head of Training Programmes Branch, Department for Employment and Learning, 1<sup>st</sup> Floor Waterfront Plaza, 8 Laganbank Road, Belfast BT1 3LY stating the full grounds of your appeal. Your appeal must be received within 21 calendar days of issue of this letter.

I have arranged for you to see a Careers Adviser at

.....

on ..... at ..... am/pm.

Yours sincerely

*\* DELETE AS APPROPRIATE*

**1 COPY TO PARTICIPANT  
1 COPY TO PARTICIPANT'S RECORDS  
1 COPY TO CAREERS ADVISER**

## Annex 10

### TRAVEL COSTS – CONTRACT MANAGEMENT AREAS

The following contribution to weekly travel costs will be paid for **all** participants in the components of Programme-Led Apprenticeships.

	Standard Rate
	£3
Antrim	“
Belfast	“
Carrickfergus	“
Castlereagh	“
Craigavon	“
Lisburn	“
Newtownabbey	“
North Down	“
	£5
Ards	“
Armagh	“
Banbridge	“
Coleraine	“
Derry	“
	£9
Ballymena	“
Ballymoney	“
Cookstown	“
Down	“
Dungannon	“
Fermanagh	“
Larne	“
Limavady	“
Magherafelt	“
Moyle	“
Newry & Mourne	“
Omagh	“
Strabane	“

**Please note the contribution payable will be based on the address of the Supplier site with regard to the contract management area in which they are based.**

## Annex 11

### CHILDCARE PAYMENTS

The maximum amount of financial assistance per participant per week is shown in the table below:

No of Children	REGISTERED CHILDMINDER		RELATIVE	
	Full-Time Care	Out of School Hours Care	Full-Time Care	Out of School Hours Care
First child	£130	£95	£70	£45
Two or more Children	£240	£170	£100	£65
	£240 maximum		£100 maximum	

**NOTE:**

Where a combination of a registered child minder and a relative is used, the overriding maximum contribution will be £240 per participant per week.



## Annex 12

### SPECIALIST SUPPORT PROVIDERS

NAME	CONTACT	ADDRESS	TELEPHONE
Disability Action	Dermot McCluskey	Portside Business Park 189 Airport Road Belfast BT3 9ED	(028) 9029 7880 <a href="mailto:dermotmccluskey@disabilityaction.org">dermotmccluskey@disabilityaction.org</a>
Include Youth	Paddy Mooney	Alpha House 3 Rosemary Street Belfast BT30 7TR	(028) 9031 1007 <a href="mailto:Paddy@includeyouth.org">Paddy@includeyouth.org</a>
Opportunity Youth	Anne-Marie McClure	Hildon House 30-34 Hill Street Belfast	(028) 9043 5810 <a href="mailto:annemarie.mcclure@opportunity-youth.org">annemarie.mcclure@opportunity-youth.org</a>
Sensory Learning Support	Anne Magee Bill Sommerville	85 Jordanstown Road Newtownabbey BT37 0QE	(028) 9036 0953 <a href="mailto:Amagee076@c2kni.net">Amagee076@c2kni.net</a> <a href="mailto:Jsommerville272@jordanstownss.newtownabbey.ni.sch.uk">Jsommerville272@jordanstownss.newtownabbey.ni.sch.uk</a>
The Cedar Foundation	Mr Kieran Molloy	1a Woodside Road Industrial Estate Woodside Road Ballymena BT42 4QJ	(028) 2565 9111 <a href="mailto:Kieran.Molloy@cedar-foundation.org">Kieran.Molloy@cedar-foundation.org</a>

## Annex 13

### DISABILITY/SPECIAL NEEDS CODES

Code	Disability Category
21	VISUAL ('L')
22	PHYSICAL / MOBILITY ('M')
23	HEARING ('N')
24	LEARNING ('P')
25	MENTAL HEALTH ('Q')
26	HIDDEN / OTHERS (E.G. SPEECH / HEART) ('R')

Code	Special Needs Categories
1	LITERACY PROBLEMS
2	NUMERACY PROBLEMS
3	LITERACY AND NUMERACY PROBLEMS
4	LINGUISTIC PROBLEMS
5	BEHAVIOURAL PROBLEMS
6	SERIOUS BEHAVIOURAL PROBLEMS
7	LACKING MOTIVATION
8	IN CARE BACKGROUND
20	DYSLEXIA
0	OTHER

# FORMS



**PLA 1**

## **BANK DETAILS AND AUTHORISED SIGNATORIES**

**Please use CAPITAL letters**

### **Supplier Details:**

Name of TO: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Start date of provision: \_\_\_\_\_

### **Details of Bank Account** *(to which payments are to be made):*

Name of Bank: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Account No: 

--	--	--	--	--	--	--	--	--	--

Account Name: \_\_\_\_\_

Bank Sort Code: 

--	--	--	--	--	--	--

### **Authorised signatories:**

I \_\_\_\_\_  
*(name CAPITAL letters)* authorise the following to sign **Programme-led Apprenticeship** forms on my behalf. Their signatures are binding on this Supplier.

Name	Position	Specimen signature

Signed: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

Declaration by Supplier: I declare that the information given is correct and any changes will be notified.

Signed: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

Name (CAPITAL letters): \_\_\_\_\_

**Please send the completed form to: Department for Employment & Learning, Supplier Services Branch, 1<sup>st</sup> Floor, Waterfront Plaza 8 Laganbank Road Belfast BT1 3LY**



**PLA 2 (Rev Oct 2011)**

**TRAVEL EXPENSES CLAIM** (Only to be completed if amount to be claimed is £50 or over)

Please use **CAPITAL** letters

To be completed by the Supplier

**PART 1**

Name of Supplier \_\_\_\_\_

Supplier Address \_\_\_\_\_

Address \_\_\_\_\_ Postcode \_\_\_\_\_

Work-based Learning Placement Name \_\_\_\_\_

Work-based Learning Placement Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Date participant started training or commenced work-based learning placement \_\_\_\_\_  
(i.e. effective date of excess travel approval when weekly travel costs incurred is £50 or over per week excluding participant and standard contribution)

**PART 2**

Is this a first claim? YES / NO                      Is this a change in circumstances? YES / NO

If a change in circumstances, please state:

Date of change \_\_\_\_\_ Reason for change \_\_\_\_\_

**PART 3**

Participant's name \_\_\_\_\_ Client ID Number \_\_\_\_\_

Home Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Reasons why travel expenses are being claimed \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(If taxi is being used, please enclose three quotations for the related taxi journey(s))

Please give details of the participant's journey to and from his/her training location / work-based learning placement.

	Actual Start	Actual Finish	Journey Details
Day 1			
Day 2			
Day 3			
Day 4			
Day 5			

Weekly cost £ \_\_\_\_\_ Daily cost (if weekly ticket is not available) £ \_\_\_\_\_

If travel is by private transport please confirm total return mileage \_\_\_\_\_

**Part 4**

Weekly amount approved £ \_\_\_\_\_

**\* N.B.** The amount entered in TMS for approval must reflect the total weekly travel cost including the £3 participant contribution. For TMS purposes, the amount entered into TMS for approval should also ignore the standard rate of £3, £5 or £9 as the system is pre-programmed to generate this amount in the claim as reimbursement for all participants. It is important to note that when creating invoices for third parties e.g. taxi expenses TMS will reimburse the total invoice amount in the claim so Suppliers should take into consideration the £3 participant contribution to the expense item and the standard contribution

Example total taxi expense for week = £100  
 Participant must pay £3 towards this cost  
 Taxi company invoices for £100 (excludes participant contribution)  
 The invoice created must be for £94 (less £3 participant contribution and £3, £5 or £9 rate (as appropriate) as this will be reimbursed in claim).

It is impossible to give instruction regarding all variations that might apply in third party circumstances. However, basically invoices should be for what is due after appropriate calculations have taken place.

I declare that the travel expenses as detailed are correct. I understand that this information may be checked by the Department for Employment and Learning.

Travel expenses payable from \_\_\_\_\_ (date)

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(Authorised person within Supplier)

NAME (CAPITAL letters) \_\_\_\_\_

Position \_\_\_\_\_

**This approval, any related invoices and supporting documentation should be retained by the Supplier for inspection by the Department for Employment and Learning.**

For DEL office use	
Examined by	Date
Checked by	Date
Approved by	Date



**PLA 3**

## **LODGING ALLOWANCE CLAIM**

- Fully completed forms must be retained by the Supplier for inspection.
- The Supplier must inform the local Social Security Office/Jobs and Benefits Office of any non-employed trainee who is 18 years of age or over and is in receipt of lodging allowance.
- Please use CAPITAL letters.

### **To be completed by the Programme-Led Apprenticeships participant**

Name of TO \_\_\_\_\_

Name of Training Partner \_\_\_\_\_

Address \_\_\_\_\_

Name of Participant \_\_\_\_\_

Home Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Lodging Address \_\_\_\_\_

\_\_\_\_\_

The cost of return travel between my lodgings and home is £ \_\_\_\_\_

I will be staying in lodgings each week for: \_\_\_\_\_ (number) nights.

If you are age 18 or over complete the following:

Date of Birth \_\_\_\_\_ National Insurance Number

--	--	--	--	--	--	--	--	--	--

### **Declaration**

I declare that the information given above is correct and I will notify my Supplier at once of any change in my circumstances.

Signed \_\_\_\_\_ Date \_\_\_\_\_



**To be completed by the person providing the lodgings**

I agree to provide \_\_\_\_\_ (name) with lodgings (including breakfast and evening meal) for \_\_\_\_\_ nights each week at the cost of £ \_\_\_\_\_ (per week) whilst he/she is undergoing training.

I understand that, before I receive payment, I am required to submit invoices on a weekly basis to \_\_\_\_\_ (name of Supplier).

Signed \_\_\_\_\_ Date \_\_\_\_\_

Name (CAPITAL letters) \_\_\_\_\_



## Lodging Allowance Approval

To be completed by the Supplier

**A. Cost of Lodgings** £ \_\_\_\_\_  
Plus cost of weekend travel home (if applicable) £ \_\_\_\_\_  
**TOTAL weekly lodging allowance payable** £ \_\_\_\_\_

Date payment to commence \_\_\_\_\_

**B. Declaration by Supplier for claims up to £50 per week**

I declare that the trainee took up lodgings on \_\_\_\_\_  
and that arrangements are suitable. The participant is expected to stay in lodgings until \_\_\_\_\_

\*I also approve the total weekly lodging allowance of £ \_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(Authorised person within the TO)

Name (CAPITAL letters) \_\_\_\_\_

**C. Send the completed form to Training Programmes Branch for approval of claims.**

I approve the total weekly lodging allowance of £ \_\_\_\_\_ as detailed at Part A above.

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(Training Programmes Branch)

Name in BLOCK CAPITALS \_\_\_\_\_

- Delete as appropriate



**PLA 4**  
**(Rev Oct 2011)**

**APPLICATION FOR ASSISTANCE TOWARDS CHILDCARE COSTS**

- Please read the notes on the back page before completing this form

**A. To be completed by the Applicant**

Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_ Postcode \_\_\_\_\_  
Tel No: \_\_\_\_\_ Client ID: \_\_\_\_\_

**Details of child(ren) you are applying for**

Forename(s)	Surname	Date of Birth	In Full-Time Education?	
			YES*	NO*
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

Are you: the mother?  the father?  the person having parental responsibility?   
\*Please tick the appropriate boxes

National Insurance Number

Childcare Expenses payable from: \_\_\_\_\_

**DECLARATION**

**Complete 1, 2 or 3 below as appropriate**

**I declare that:**

1. I am participating in Programme-Led Apprenticeships on a non-employed basis, **and**  
I am a lone parent\*\* having parental responsibility for the above-named child(ren) who is/are my dependant(s) and live(s) with me at the above address,

Please tick the appropriate box

\*\* (includes person having sole parental responsibility)

**OR**

2. I am participating in Programme-Led Apprenticeships on a non-employed basis, **and**
- (a) I have parental responsibility for the above-named child(ren) who is/are my dependant(s) and live with me at the above address, **and** my partner is
- (b) Participating in Programme-Led Apprenticeships on a non-employed basis -----   
 Training in another DEL programme, on a non-employed basis -----
- (c) In receipt of the following benefit(s):
- Attendance Allowance -----   
 Constant Attendance Allowance -----   
 Disability Living Allowance -----   
 Disability Premium or Higher Premium Pension-----   
 Incapacity Benefit (IB) where the rate payable  
 is short-term higher rate or long-term lower rate -----   
 Severe Disablement Allowance-----

**OR**

3. I have parental responsibility for the above-named child(ren) who is/are my dependant(s) and live with me at the above address and I am participating on Programme-Led Apprenticeships . -----
- ◆ The named child(ren) overleaf has/have not reached the first Tuesday in September following their 15<sup>th</sup> birthday, or in the case of child(ren) in receipt of Disability Living Allowance or who is/are registered blind, has/have not reached the first Tuesday in September following their 16<sup>th</sup> birthday.
  - ◆ I am unable to make childcare arrangements other than on a fee-paying basis.
  - ◆ The information which I have given is correct and complete. I understand that it may be checked by DEL and that any information found to be incorrect may result in the recovery of any childcare costs paid. I do not have any objections to enquiries being made through the Social Security Agency.

SIGNED: \_\_\_\_\_

DATE: \_\_\_\_\_

**DISCLAIMER**

The choice of childminder is the sole responsibility of the lone parent/person having parental responsibility. The Department does not accept responsibility for any risks or accidents that might arise when a child is in the care of a Registered Childminder or other carer. The Department cannot accept responsibility for contractual arrangements with a Registered Childminder or other carer which result in payment being due for a period when the applicant is not participating on Programme-Led Apprenticeships.

**B. To be completed by the Childminder**

Childminder's Name: .....

Address .....

..... Postcode .....

**DECLARATION**

**Complete (i) or (ii) below as appropriate**

**I declare that:**

**Please tick the appropriate boxes**

(i) I am a Registered Childminder/crèche/nursery with a Health & Social Services Board, and I enclose a copy of my Registered Childminder's Certificate together with a copy of my terms & conditions.

I am willing to care for the child(ren) named at a cost of £ ..... **per day** for \_\_\_ days per week.

I agree to provide a statement of the weekly hours involved.

I agree that this information can be made available to the Social Security Agency.

\_\_\_\_\_

**I declare that:**

(ii) I am an adult relative (over 18) of the child(ren).

**Please state clearly your relationship to the child** .....  
(grandparent, aunt or uncle)

I am willing to care for the child(ren) named at a cost of £ ..... **per day**

I agree to provide a statement of the weekly hours involved.

I agree that this information can be made available to the Social Security Agency.

SIGNED: \_\_\_\_\_  
(CHILDMINDER)

DATE: \_\_\_/\_\_\_/\_\_\_



**C. To be completed by the SUPPLIER**

I have confirmed the applicant to be:

- a) Parent/person\* on a Programme-Led Apprenticeship Provision; or
- b) Parent/person\* who is unemployed and in receipt of Jobseeker's Allowance (Income Based) or Income Support; or
- c) a Programme-Led Apprenticeship participant whose spouse/partner is also on *Programme-Led Apprenticeship*, non-employed status on a Jobskills course, or other Departmental training programme where Benefit Based Training Allowance or EMA is being paid; or
- d) a *Programme-Led Apprenticeship* participant whose partner is in receipt of one or more of the qualifying benefits listed in Section A (2c)

and is eligible to join *Programme-Led Apprenticeship*

(\* includes person having parental responsibility)

\* I approve (where costs are up to £50 per week) payment of childcare costs.

\* I apply (where costs are in excess of £50 per week) for approval to pay childcare costs on the basis of Section B

I enclose a copy of the Registered Childminder's certificate (where appropriate)

I confirm that the applicant's child(ren) is/are eligible for childcare payments

\* Delete as appropriate.

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name (CAPITAL letters):** \_\_\_\_\_

Supplier stamp:



**D. To be completed by TRAINING PROGRAMMES BRANCH**  
**(Where costs are in excess of £50 per week)**

\* Delete as appropriate.

To: **Supplier**

\* Approval is given for the payment of childcare costs of £\_\_\_\_\_ to:

Name of applicant: \_\_\_\_\_

- While she/he is participating in **Programme-Led Apprenticeships**; or
- is a **Programme-Led Apprenticeships** participant whose spouse/partner is also on Programme-Led Apprenticeships, non-employed status or other Departmental training programme where Benefit Based Training Allowance or EMA is being paid;
- or
- is a **Programme-Led Apprenticeships** participant whose partner is in receipt of one or more of the qualifying benefits listed in **Section A (2c)**.

Payments will be made to \_\_\_\_\_ as follows:  
**(Name of childminder)**

Rate per Hour/ Weekly Rate (£)	Name of Child	Age of Child

Approval has not been given because: \_\_\_\_\_

\_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Name: (CAPITAL letters) \_\_\_\_\_

### Who qualifies?

#### You may qualify if:

- ◆ You commence training and remain a participant on Programme-Led Apprenticeships; **and**
- ◆ You are a lone parent/person having parental responsibility **or** your partner is also participating in Programme-Led Apprenticeships or other DEL training programmes on a non-employed basis, **or** your partner is in receipt of a qualifying benefit (See Section A (2c)); **and**
- ◆ You have one or more dependant children living with you. Applications for childcare costs can be made in respect of a child(ren) who has/have not reached the first Tuesday in September following their 15<sup>th</sup> birthday, or in the case of child(ren) in receipt of Disability Living Allowance or who are registered blind, the first Tuesday in September following their 16<sup>th</sup> birthday, at the date training commences.
- ◆ You are in an eligible category and pay for your child(ren) to be cared for by a registered childminder/creche/nursery or by a relative over 18 who is a grandparent, aunt or uncle of your child(ren).  
**If you are in doubt, please contact your Supplier for further advice.**

#### What can be paid?

If your application is successful, the Department will pay:

- ◆ A contribution towards the childminding costs up to a maximum of **£26** per day for one child and up to **£48** per day for two or more children, where a Registered Childminder, crèche or nursery registered with a Health & Social Services Board looks after your child(ren) full time. Up to a maximum of **£19** per day for one child and up to **£34** per day for two or more children of school age, where care is provided by a Registered Childminder out of school hours;  
**or**
- ◆ A contribution towards your childminding costs up to a maximum of **£14** per day for one child and up to **£20** per day for two or more children, being cared for by a relative of your child(ren) who looks after your child(ren) full-time. Up to a maximum of **£9** per day for one child of school age and **£13** per day for two or more children, is payable where care is provided by a relative out of school hours.
- ◆ The maximum amount payable towards childcare costs is subject to a limit of **£48** per day per family where care is provided by a Registered Childminder/nursery/creche or **£20** per day per family where care is provided by a relative.
- ◆ The rates of childcare assistance are subject to a maximum of **5** days per week
- ◆ The maximum amount payable towards childcare costs is subject to an overall limit of **£48** per day per family, where care is provided by a mixture of childminder/nursery/creche and relative(s).

#### How will payments be made?

Payments will be made directly to your childminder – your childminder must forward the childminder statement form ([PLA 4](#)) to the Provider confirming the child(ren)'s attendance and the fee charged before payment can be made.

### **How do I apply?**

Before you commence Programme-Led Apprenticeships your Supplier will advise you of the assistance that is available towards the costs of childcare. If you think you qualify for assistance towards childcare costs, make arrangements for the care of your child(ren).

**DO NOT enter into any form of agreement until your application has been approved.** Arrange for the completion of Sections A and B of this application form, and give the form to the Supplier offering you the training. The Supplier will advise you if your application has been successful. If it has, arrangements will be made for you to start training as soon as possible.

**The information provided on this form may be made available to other Departments/Agencies for the purpose of preventing or detecting crime.**



**PLA 5(A)**

**PROGRAMME-LED APPRENTICESHIPS  
WORK-BASED LEARNING PLACEMENT ATTENDANCE RECORD**

Name of Supplier: \_\_\_\_\_

Participant Name: \_\_\_\_\_

Placement Provider Name: \_\_\_\_\_

Placement Address: \_\_\_\_\_

Attendance for Week Commencing Monday: \_\_\_\_\_

Day	Att Code	Start Time	Lunch	Finish Time	Hours Worked	Comments
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						
Sunday						
<b>Total Hours Worked</b>						

**Attendance codes** (Codes must be used – ‘ticks’ are not acceptable):

- P** = Attended                      **U** = Unauthorised Absence
- AA** = Authorised Absence      **S** = Certified Sick
- PH** = Bank Holiday

**Placement Provider Stamp**

**I confirm that the attendance above is correct**

**Participant Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Placement Provider Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name in full & Position in Company (*Print*):** \_\_\_\_\_

**FAILURE TO RETURN THESE RECORDS ON TIME WILL RESULT IN DELAYS IN  
PAYMENT OF ANY ALLOWANCES DUE**

*For Office use only*

<b>Checked By</b>	
<b>Verified By</b>	
<b>Date</b>	





## PLA 6A

### REFERRAL FOR SPECIALIST SUPPORT DELIVERY AND APPROVAL

Please use CAPITAL letters and complete the appropriate sections

#### PART A (To be completed by the Training Supplier)

Name of Training Supplier \_\_\_\_\_

Training Supplier Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Enter Specialist Support Provider referred to \_\_\_\_\_

Date Participant Started Training \_\_\_\_\_ Client ID Number \_\_\_\_\_

Nature of Disability/Additional Needs \_\_\_\_\_

Reason for Referral for Specialist Support Provision

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signed \_\_\_\_\_

Date \_\_\_\_\_

#### PART B (To be completed by the Specialist Support Provider)

Has the client been previously referred for Pre-Entry Training Support by Careers Service Advisers? \* **Yes/No**

***\*This only applies to Disability Action, Cedar Foundation and Sensory Learning Support***

On basis of the information supplied by the Training Provider/Careers ServiceNI and subsequent assessment completed by Specialist Support Provider, the above referred client will require the following level of specialist support, \_\_\_ hours/part hours per week to be delivered on an individual/group delivery (***delete as appropriate***). These support services will be delivered from \_\_\_/\_\_\_/\_\_\_ to \_\_\_/\_\_\_/\_\_\_.

Brief Description of Support to be Delivered. Week Commencing \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_





**PLA 7(A)**

## ENFORCED INTERRUPTION TO TRAINING FORM

To: \_\_\_\_\_ JobCentre/Jobs and Benefits Office/Careers Office

Participant Name (Print): \_\_\_\_\_ D.O.B: \_\_\_/\_\_\_/\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Postcode: \_\_\_\_\_

\*(1) This Supplier has made every effort to find a suitable, alternative placement for the above-named participant, without success.

\*(2) The above participant has had an enforced interruption to training due to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Therefore, training will be suspended with effect from \_\_\_/\_\_\_/\_\_\_ (date) and is expected to resume on \_\_\_/\_\_\_/\_\_\_ (date).

\* Delete as appropriate

Signed: \_\_\_\_\_  
(TO Authorised Signatory)

Date: \_\_\_/\_\_\_/\_\_\_

Supplier: \_\_\_\_\_



**PLA 7(B)**

## **RESUMPTION TO TRAINING FOLLOWING ENFORCED INTERRUPTION**

To: \_\_\_\_\_ Careers Back-up Staff

Participant Name (Print): \_\_\_\_\_ D.O.B: \_\_\_/\_\_\_/\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_ Postcode: \_\_\_\_\_

This Supplier notified you on Form A dated \_\_\_/\_\_\_/\_\_\_ that the above named participant was expected to resume training on \_\_\_/\_\_\_/\_\_\_ following an enforced interruption due to \_\_\_\_\_  
\_\_\_\_\_

He / she resumed training today \_\_\_/\_\_\_/\_\_\_ (date).

Taking account of the balance of training period due, the revised expected end date has been calculated as \_\_\_/\_\_\_/\_\_\_ (date).

Signed: \_\_\_\_\_  
(TO Authorised Signatory)

Date: \_\_\_/\_\_\_/\_\_\_

Supplier: \_\_\_\_\_



**PLA 8**

## APPLICATION TO REJOIN PROGRAMME-LED APPRENTICESHIPS PROGRAMMES

**NOTE: This form must be submitted to the local JobCentre/Jobs and Benefits/Careers office at the earliest opportunity preceding transfer.**

**From** (Name of Supplier):  
**To** (JobCentre/Jobs and Benefits/Careers office):

The following persons wish to rejoin Programme-Led Apprenticeships *programme*

TO BE COMPLETED BY SUPPLIER							For Office Use			
Client ID	Surname	First Name	Previous Programme	New Component	New Component Start Date	New SOC	New RORQ	Number of Weeks	Training Weeks to Date	New Participation Number

**Supplier Signature** \_\_\_\_\_

**For Office Use**

**Name (CAPITALS)** \_\_\_\_\_

**Careers Service Signature** \_\_\_\_\_ **(Name)**

**Date**                    \_\_\_/\_\_\_/\_\_\_

**Date:**                \_\_\_/\_\_\_/\_\_\_

**Following Training Credit Issue –**

**cc: Supplier/Supplier Services Branch and retain copy for JobCentre/Jobs and Benefits/Careers office.**



**PLA 9**

**PROGRAMME-LED APPRENTICESHIPS:  
NOTIFICATION OF CHANGE OF OCCUPATIONAL AREA**

**Please use CAPITAL letters**

Name of TO: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ Postcode: \_\_\_\_\_

Name of Participant: \_\_\_\_\_

Date of Birth: 

--	--	--

NI NO: 

--	--	--	--	--	--	--	--	--	--

Reason for change: \_\_\_\_\_

Client ID No: \_\_\_\_\_

The above-named participant(s) in Programme Led Apprenticeship has chosen to change occupational area

From:

Agreed occupational area \_\_\_\_\_

To:

Revised occupational area \_\_\_\_\_

Date of Change \_\_\_\_\_

QCF Reference No (where appropriate) \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Name: (CAPITAL letters) \_\_\_\_\_  
(Authorised person within the Organisation)

**Please send the completed form to your local Careers Adviser**

**FOR CAREERS OFFICE USE – ACKNOWLEDGEMENT OF RECEIPT**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Careers Adviser)

Name: (CAPITAL letters) \_\_\_\_\_

Careers Office \_\_\_\_\_



**PLA 10**

## **PROGRAMME-LED APPRENTICESHIPS MILESTONE CLAIM FORM**

From: (Supplier) \_\_\_\_\_

To: Suppliers Services Branch

Participant Name: \_\_\_\_\_

Client ID No.: \_\_\_\_\_ Start Date: \_\_\_\_\_

Programme-Led Framework:

\_\_\_\_\_  
(Insert Name of Programme Led Framework Participant is Following)

Milestone Payment No.: \_\_\_\_\_ (Insert 1-4 as relevant)

This Milestone <b>contains</b> certified evidence of qualification achievement from a recognised Awarding Body (if <b>YES</b> Please list qualification(s) Achieved below)	<b>*Yes/No</b>
--	----------------

### **\*Delete as appropriate**

Qualifications Achieved (% achieved) (All Supporting Documentation to be Sent with Claim)

---

Declaration:

I certify that the above information is correct and where the Milestone **does not** contain certified evidence of achievement, **all** supporting evidence has been retained and is available for inspection as required.

Signed \_\_\_\_\_  
(Authorised Signatory)

Date \_\_\_\_\_

NAME \_\_\_\_\_ (CAPITAL Letters)



PLA11 (rev Oct 2011)

## APPLICATION FOR APPRENTICESHIP CERTIFICATE

(Note: The Department reminds Training Suppliers of their obligation under the Data Protection Act 1998 relating to the processing of personal data.)

### Part A:

#### TRAINING SUPPLIER DETAILS

Name: \_\_\_\_\_

Tel No: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_ Post Code: \_\_\_\_\_

Apprentice's Full Name (Block Capitals)

Date of Birth  PLA Level 2 Start Date

National Insurance Number

Client ID: \_\_\_\_\_

Name of Placement Employer(s): \_\_\_\_\_

Address of Placement Employer(s): \_\_\_\_\_

The above-named person has completed an *ApprenticeshipsNI* Level 2 Framework under Programme-Led Apprenticeship intervention in the following occupational area:

Apprenticeship Framework Title (e.g. Retail)

Apprenticeship Framework No (e.g. 31):

Apprenticeship Framework Issue No (e.g. Issue 3, 08/09):

#### DEL USE ONLY

	Initials	Date
Checked:		
Approved:		
Serial No:		

**Part B:**

The following certificates, which are a true copy of the original, are attached:-

Please tick appropriate box(es)

NVQ Level 2  Level 2 Technical Certificate (where appropriate)

Essential Skills: Application of Number  Communication  ICT

Additional Certificates  
(Please Specify)

**Part C:**

**CERTIFICATION OF RELATED KNOWLEDGE – EMPLOYMENT RIGHTS AND RESPONSIBILITIES**

This is to certify that: (tick appropriate box)

the above-named apprentice completed Employment Rights and Responsibilities as stipulated in the above-named Apprenticeship framework and that I hold acceptable evidence to this effect

the above-named framework does not have a requirement for knowledge in Employment Rights and Responsibilities

**Part D:**

**DECLARATION**

I have read over the claim information and declare that it is complete and accurate. I understand that providing wrong or deliberately misleading information is an offence, and such information may be used against me in any subsequent criminal investigation. I also understand that the information provided on this form may be made available to other Departments/ Agencies for the purposes of preventing or detecting crime.

**SIGNED:** \_\_\_\_\_  
(Authorised person within Supplier)

**Position within Supplier:** \_\_\_\_\_

**NAME:** (Block Capitals) \_\_\_\_\_

**Date:** \_\_\_\_/\_\_\_\_/\_\_\_\_