

Apprenticeship Summit

**Quality and Compliance:
laying strong foundations
for the year ahead**

Not yet started



Apprenticeship Summit

**Quality and Compliance:
laying strong foundations
for the year ahead**

Now started



Introductions



Tim Chewter

**Director of Business
Development**

SDN

Speakers



David Lockhart-Hawkins

Compliance specialist

Director, Lockhart-Hawkins &
Strategic Associate, SDN

**LOCKHART
HAWKINS**



Lou Doyle

Quality specialist

CEO, Mesma &
Strategic Associate, SDN

mesma 

Welcome

Webinar Structure

- Introduction
- Presentation & discussion
- Q&A
- Autumn CPD

Engagement and resources

- Use the Q&A panel to submit questions & share insights in the Chat
- You'll receive the webinar recording and slides after the session

Today's Agenda

- Introduction
- Foundations for success: compliance and quality developments
- Ready for change? Developing strategy, teams, and processes
- Working collaboratively: How can we make sure quality and compliance are in sync?

1 – Foundations for success

Quality and compliance developments

1 - Foundations for success

Compliance
hot topics

Quality hot
topics

1 – Foundations for success

Funding compliance updates - Updated rules

(1) April 2024 Updates

- All starts from 1.4.24 aged 16-21 from non-levy payer do not have co-investment required (on funding up to maximum band)
- Levy transfer amount increased

(2) Independent Provider Financial Handbook

- New requirements, recommendations and advisories for ITPs and employer providers based on DfE/ESFA income in 23/24

(3) Subcontracting

- For providers that have met the subcontracting standard, the ability to subcontract out parts of programme to organisations not on APAR (organisation limited to £100k across providers)

(4) Functional skills flexibilities for SEND LLDD

- Widening of the flexibility for individuals with special educational needs, learning difficulties or disabilities to not have to achieve the original level of functional skills previously would require an Education Health Care Plan or legacy equivalent
- If no EHCP Providers can now determine whether an apprentice is eligible for this flexibility by undertaking a thorough and evidence-based assessment of their learning difficulty or disability using “a combination of robust methods”
- Take care with appropriate professional role

(5) Learning Support

- Review now three monthly rather than monthly
- Needs assessment at any time

1 – Foundations for success

Funding compliance updates - Updated rules

(6) Off the job for front loaded / block release

- Allows for OTJ to be planned 3 monthly but only for front loaded or block release models

(9) Training Plan

- Add description of model of delivery

(7) ILR updates

- New privacy notice
- Don't forget the Learning Records Service privacy notice

(8) Progress Reviews

- Move to three monthly rather than 12 weekly, can still be 4 times per year
- As per 23/24 a summary of the progress review discussion must still be recorded and shared with all parties (apprentice, employer, provider) however the ESFA no longer require a signature from the employer.

(10) Functional skills

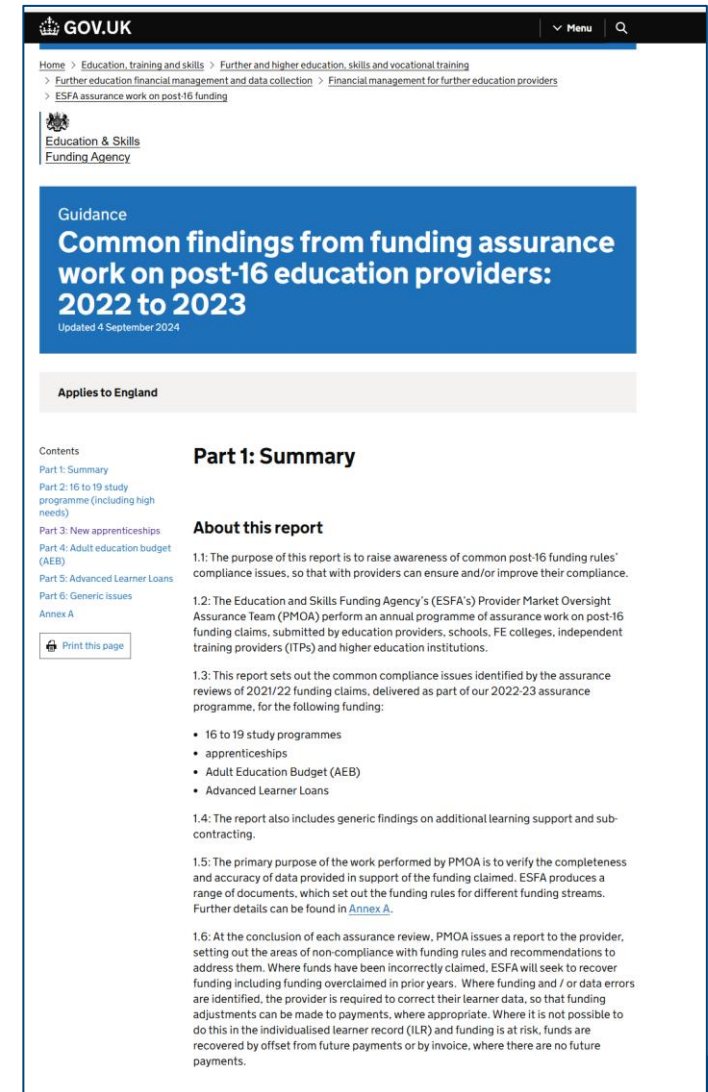
- Grade 1 and F GCSE grade now accepted as Level 1 equivalents, individuals will need to work toward and sit exams in all parts though does not have to pass.
- For carryovers the L1 will need funding to be stopped if grade 1 or F held.
- Rate of funding increased in January 2024, this creates an increased risk if your evidence system to support aim start and aim continuation is not robust

1 – Foundations for success

Funding compliance updates – common issues

1. Off the job training (design and implementation)
2. Apprenticeship agreement & Training Plans
3. Pricing
4. Start dates & End Dates
5. Recognition of prior learning
6. English and maths
7. Duration
8. Activity and breaks

<https://www.gov.uk/government/publications/esfa-assurance-work-on-post-16-funding/common-findings-from-funding-assurance-work-on-post-16-education-providers#part-3-new-apprenticeships>



The screenshot shows a GOV.UK page with the following content:

- Page Title:** Common findings from funding assurance work on post-16 education providers: 2022 to 2023
- Updated:** 4 September 2024
- Applies to:** England
- Contents:**
 - Part 1: Summary
 - Part 2: 16 to 19 study programme (including high needs)
 - Part 3: New apprenticeships
 - Part 4: Adult education budget (AEB)
 - Part 5: Advanced Learner Loans
 - Part 6: Generic issues
 - Annex A
- Part 1: Summary**
 - About this report**
 - 1.1: The purpose of this report is to raise awareness of common post-16 funding rules' compliance issues, so that with providers can ensure and/or improve their compliance.
 - 1.2: The Education and Skills Funding Agency's (ESFA's) Provider Market Oversight Assurance Team (PMOA) perform an annual programme of assurance work on post-16 funding claims, submitted by education providers, schools, FE colleges, independent training providers (ITPs) and higher education institutions.
 - 1.3: This report sets out the common compliance issues identified by the assurance reviews of 2021/22 funding claims, delivered as part of our 2022-23 assurance programme, for the following funding:
 - 16 to 19 study programmes
 - apprenticeships
 - Adult Education Budget (AEB)
 - Advanced Learner Loans
 - 1.4: The report also includes generic findings on additional learning support and sub-contracting.
 - 1.5: The primary purpose of the work performed by PMOA is to verify the completeness and accuracy of data provided in support of the funding claimed. ESFA produces a range of documents, which set out the funding rules for different funding streams. Further details can be found in [Annex A](#).
 - 1.6: At the conclusion of each assurance review, PMOA issues a report to the provider, setting out the areas of non-compliance with funding rules and recommendations to address them. Where funds have been incorrectly claimed, ESFA will seek to recover funding including funding overclaimed in prior years. Where funding and / or data errors are identified, the provider is required to correct their learner data, so that funding adjustments can be made to payments, where appropriate. Where it is not possible to do this in the individualised learner record (ILR) and funding is at risk, funds are recovered by offset from future payments or by invoice, where there are no future payments.

1 – Ofsted updates

Apprenticeships

217. Inspectors will consider how well leaders and managers ensure that the apprenticeship curriculum meets the principles and requirements of an apprenticeship.

[\[footnote 58\]](#)

- Evidence will include the extent to which the provider's staff engage with employers to:
 - complete the apprenticeship training plan
 - plan the initial assessment, training, assessments, review points and milestones throughout
 - agree any additional qualifications to be included
 - monitor and support apprentices, including those with SEND and those who have high needs, to progress quickly, gain new knowledge, skills and behaviours and achieve to their full potential
- Inspectors will judge how well trainers, assessors, coaches and mentors communicate up-to-date vocational and technical subject knowledge that reflects expected industry practice and meets employers' needs.
- Inspectors will determine whether apprentices acquire that knowledge effectively so that they demonstrate the required skills and behaviours that enable them to complete their apprenticeships, contribute to their workplace and fulfil their career aims by progressing to their intended job roles or other sustained employment, promotion or, where appropriate, moving to a higher level of apprenticeship or qualification.
- Inspectors will consider the extent to which providers contribute to apprentices' personal development, such as by providing appropriate careers advice within the context of their apprenticeship and providing opportunities for development such as involvement in skills competitions
- Inspectors will also consider whether arrangements for safeguarding young people and vulnerable learners are appropriate and effective.

252. *"To judge whether behaviour and attitudes are good, requires improvement or are inadequate, inspectors will use a 'best fit' approach, relying on the professional judgement of the inspection team. **They will take into account the type(s) of provision and the age, stage of development and vulnerability of the learners involved.**"*

261. *"To judge whether personal development is good, requires improvement or is inadequate, inspectors will use a 'best fit' approach, relying on the professional judgement of the inspection team. **They will take into account the type(s) of provision and the age, stage of development and vulnerability of the learners involved.**"*

Overall single grade remains in FE & Skills...for now.

1 - Planned changes



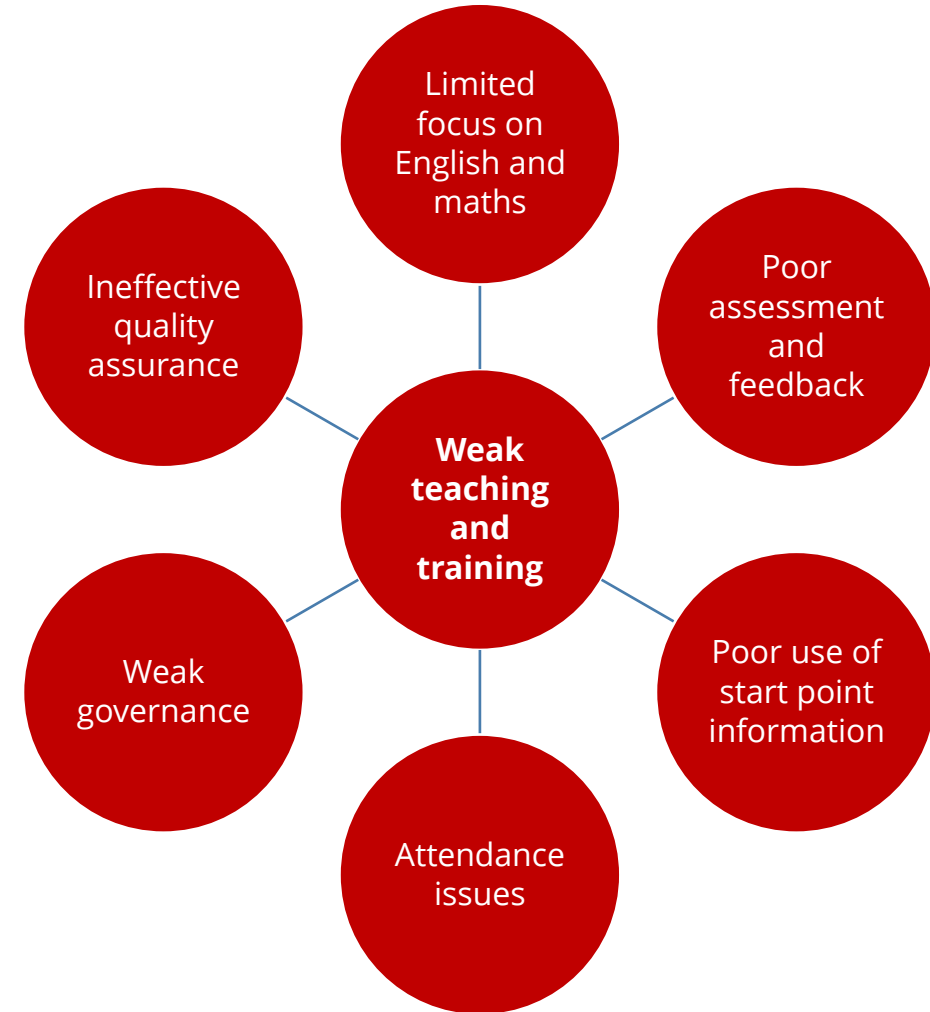
My top takeaways

1. **Removal of single grade**
2. **Specific FE & Skills framework**
3. **Revisit notice periods**
4. **Scope of inspection**
5. **Focus on learners with SEND/ disadvantage**

(Report cards?!)

Source: Ofsted Big Listen gov.uk

1 - But regardless...



1 - Quality assurance and compliance:

Features of effective governance



Source: Comparisons in quality systems

1 - Foundations for success

Your perspectives
on compliance and
quality priorities

2 – Ready for change?

What do we do when no one is looking?

2 – Useful theories of change

‘E’conomic

‘O’rganisational
Development

Nohria & Beer

2 - Levers of change

Economic

- Managed top-down
- Emphasis on structures and systems
- Planned programmes / projects
- Motivate with financial incentives
- Maximise <Shareholder> value

Organisational Development

- Develop organisational capabilities
- Encourage everyone to participate
- Corporate culture = people's behaviours
- Experiment and evolve
- Motivate through commitment and fair pay

2 - Combining E and O

Creating a 'Quality First' culture

Leaders

- Clear organisational goals
- Commitment and support for CI
- Psychological safe space to feedback and experiment
- Strip back on bloated bureaucracy
- Recognise and celebrate improvement
- Make difficult decisions
- Invest in learning organisation

Specialists

- Whole organisation model
- Seek to understand before seek to evaluate
- Trained and knowledgeable in QA/I/C methods
- Know not every issue is equal
- Encourage collaborative improvement
- Recognise and mitigate personal bias
- Understand risk management

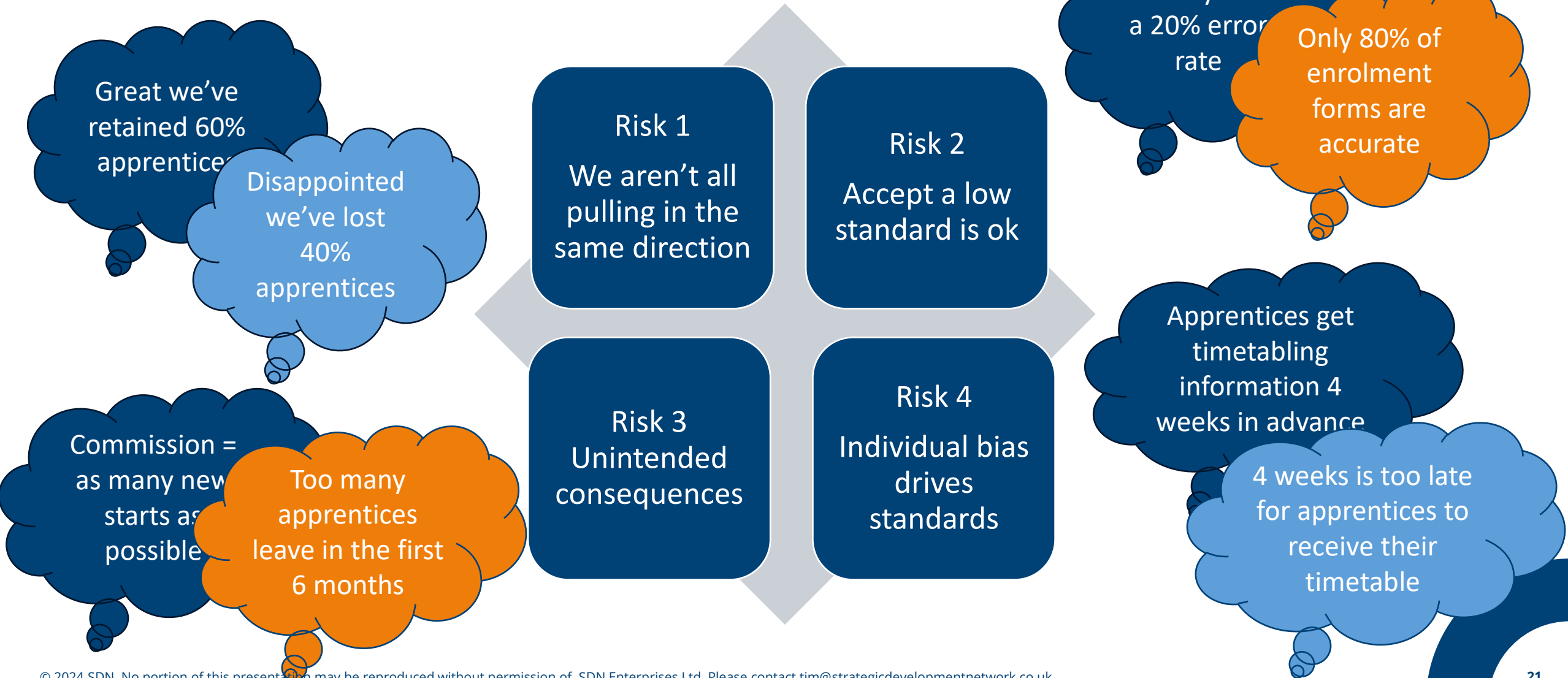
Practitioners

- Agency to act on the opportunities presented
- Welcome and know how to engage with specialists
- Bought into organisation's goals
- Willing to challenge and give feedback
- Share ideas
- Proactive in developing self

Form a clear understanding of what 'Good' looks like

2 – What does good look like?

And does it matter if we can't describe it?



Creating mini visions and guides

A simple way to involve everyone



“We give feedback to apprentices, employers and our own colleagues to help them learn and grow. We are skilled in achieving this. We make sure the feedback we give is specific, timely, honest, and clearly helps redirect or refocus their actions where needed. If someone is unable to act on feedback, we avoid giving it, as this is unhelpful. We actively seek feedback about our own performance to help develop our skills, knowledge and behaviours.”

2 – Ready for change

Your perspectives
on readiness for
change

3 – Working collaboratively

How can we make sure quality and compliance are in sync?

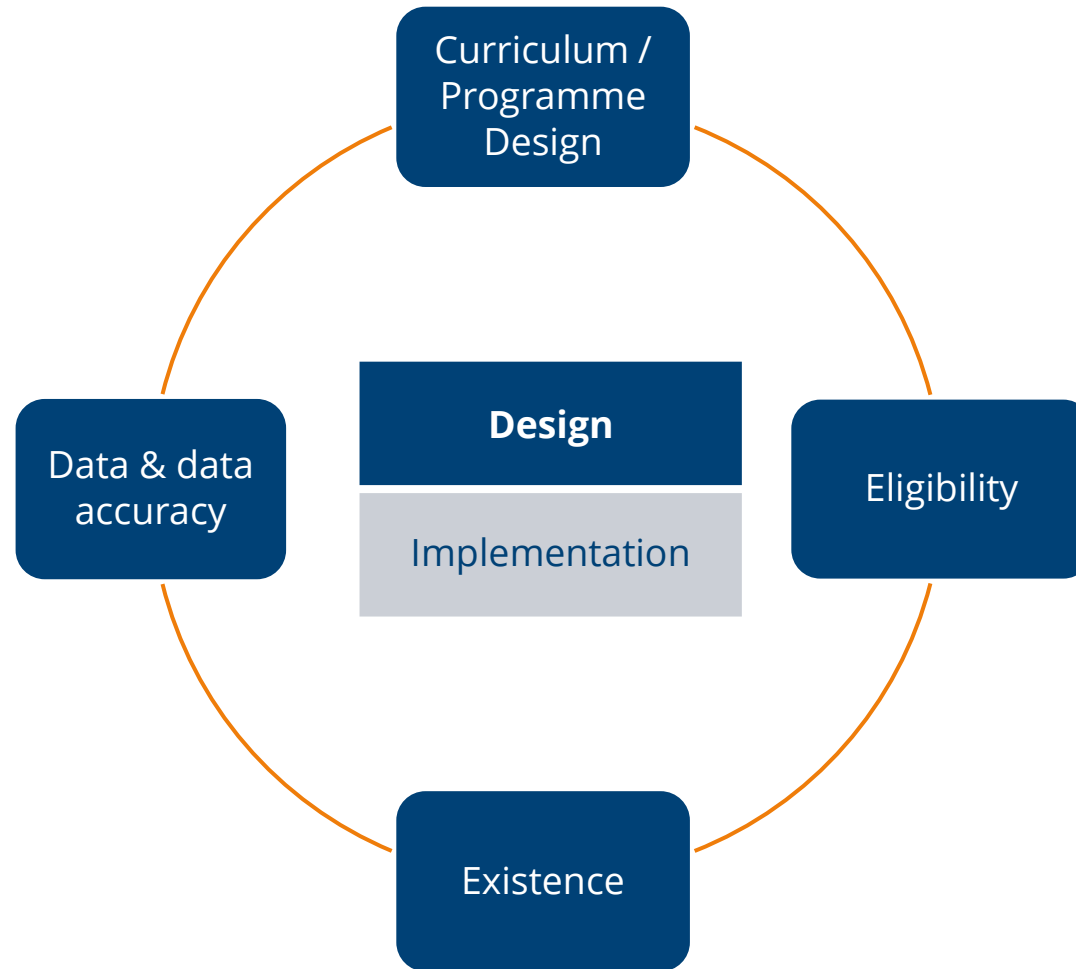
3 – Working collaboratively

How do we develop?



3 – Working collaboratively

Compliance foundations



Hearing from you...

Thinking about compliance and quality in your organisation, which are the top five priorities for you this year?

1. Learning support and functional skills flexibilities
2. Apprenticeship Accountability framework
3. Effective feedback for learners / Reviews
4. Initial assessment including Skills scan/analysis
5. Curriculum/Programme design
6. Safeguarding/Prevent
7. Maths and English delivery
8. Disengagement/active learning and off the job implementation
9. Job role fit to standards
10. Governance

SDN Autumn CPD Programme

Funding &
compliance

Quality & inspection

Curriculum design,
delivery & coaching

Assessment

Business
development

Safeguarding,
Prevent & British
Values

SDN Autumn CPD Programme

Funding & Compliance

Apprenticeship compliance for leaders
(starting 11 November)

ILR & data management for apprenticeships
(starting 26 October)

Claiming apprenticeship Learning Support Funding (LSF) with confidence
(29 & 30 October)

Understanding the ITP Financial Handbook
(8 November)

Quality & Inspection

Grow Confidence in Inspections with your SAR & QIP
(7 October)

Quality assurance & the role of the IQA
(starting 23 October)

Planning for Bootcamp Monitoring Visits
(21 November)

Planning for an Enhanced Ofsted Inspection as an FE College
(2 December)

Observations of Practice in your Quality Cycle
(9 December)

Preparing for Ofsted Inspection as an HEI
(20 January 2025)

SDN Autumn CPD Programme

Assessment	<u>Level 3 Award in Undertaking EPA</u> <i>(1 October)</i>	<u>Integrating apprenticeship degree assessment & EPA</u> <i>(12 December)</i>
Safeguarding	<u>Designated Safeguarding Officer training</u> <i>(21 November)</i>	
Curriculum design & delivery	<u>Stretching & challenging apprentices to go further</u> <i>(25 September)</i>	
Coaching & Mentoring	<u>Feel the feedback - and give it anyway!</u> <u>Free Bitesize Employer Masterclass</u> <i>(26 September)</i>	<u>Coaching & Mentoring Employer Masterclass</u> <i>Register your interest</i>

Questions & Answers

Type your questions into the webinar Q&A panel

Thank you for joining us



Please get in touch or visit our website



events@strategicdevelopmentnetwork.co.uk



[01622 962 411](tel:01622 962 411)



www.strategicdevelopmentnetwork.co.uk

Follow us on social media for our latest insights and upcoming events

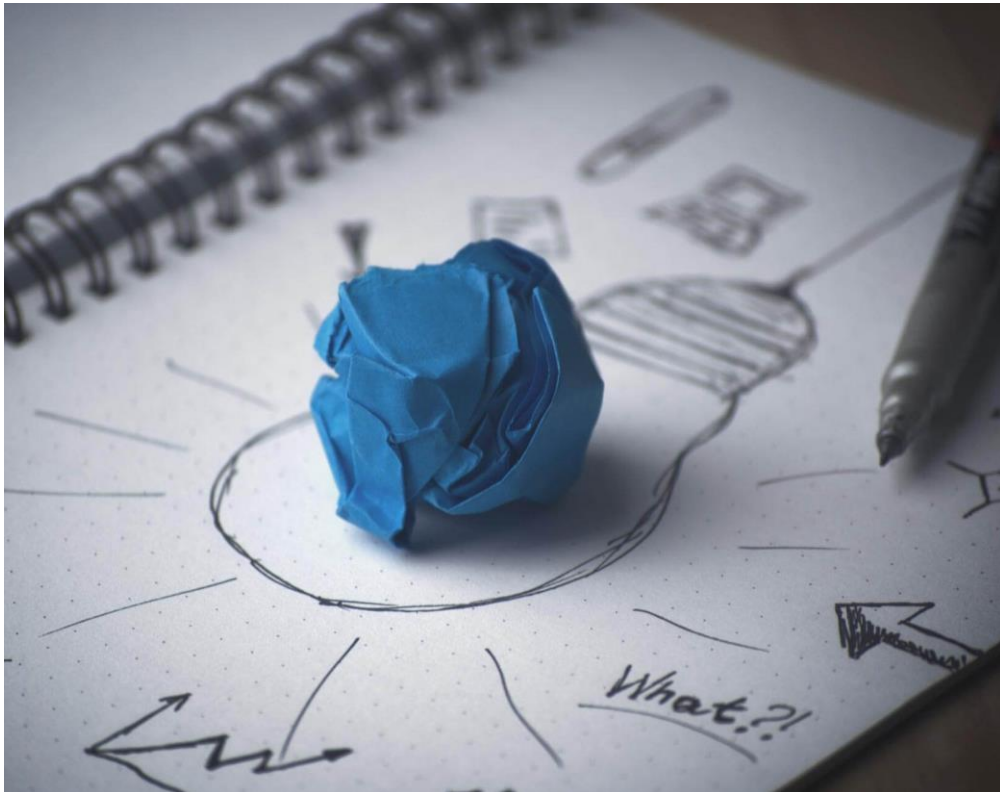


twitter.com/SDN_HQ



linkedin.com/company/sdnhq/

Thank you for joining us



After this session

You will receive:

- Access to the webinar recording
- Full slide deck
- Evaluation survey