



DEPARTMENT FOR THE ECONOMY

TRAINING FOR SUCCESS 2013 OPERATIONAL GUIDELINES TO SUPPLIERS

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TRAINING FOR SUCCESS 2013 - OPERATIONAL GUIDELINES TO SUPPLIERS

The *Training for Success.2013* Operational Guidelines have been prepared for Suppliers who have been contracted by the Department for the Economy (*formerly the Department for Employment and Learning*, “the Department”) to provide training under the *Training for Success 2013* programme.

Training for Success 2013 is designed to enable participants to progress to higher level training or employment by providing training to:

- address personal and social development needs;
- develop occupational and employability skills; and
- develop the Essential Skills of literacy, numeracy and information and communications technology (ICT), where appropriate.

The programme will be delivered through the following strands

- Skills for your Life;
- Skills for Work level 1;
- Skills for Work level 2; and
- Skills for Work level 3.

Each strand will comprise a common curriculum of Essential Skills, personal and social development, employability skills, and professional and technical skills.

In a change to previous practice, and to assist with the establishment of these new contracts, the Department will provide a single point of contact for ALL queries and requests in relation to the operation of and compliance with these Guidelines. All communication in relation to any aspect of this document and compliance with the requirements should be addressed to trainingforsuccess@economy-ni.gov.uk. The Department will aim to provide a response to queries received within 48 hours.

If you have an urgent query which requires a faster response, please ring 0300 200 7876.

Further amendments to these Guidelines may be issued in order to keep the information up to date, although the Department will try to keep any such amendments, and their frequency, to a minimum. Suppliers are included on an e-mail list which is used to distribute information on new developments. To ensure that this list remains accurate, any changes in address or contact name should also be notified to trainingforsuccess@economy-ni.gov.uk

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1. INTRODUCTION

1.1. Training for Success 2013

- 1.1.1. The Department for the Economy (DfE) is committed to the development of a highly skilled and innovative workforce that will contribute to the twin goals of social inclusion and economic success for Northern Ireland (NI). The quality and effectiveness of training for young people and adults are crucial elements of that process.
- 1.1.2. *Training for Success 2013* is designed to support the objectives of the Skills Strategy for Northern Ireland ‘Success through Skills - Transforming Futures’, by providing training to enable participants to develop relevant occupational and employability skills while addressing any Essential Skills barriers and addressing personal and social development needs.
- 1.1.3. Regulated qualifications are integral to the *Training for Success 2013* programme as they are more flexible and are based on revised national occupational standards which reflect the skills that are required to operate effectively in today’s workplace. All participants on *Training for Success 2013* will be required to undertake regulated qualifications. The Register of Regulated Qualifications (RRQ), (<http://register.ofqual.gov.uk/>) contains lists of all current regulated qualifications. From May 2016, Council for the Curriculum, Examinations and Assessment (CCEA Regulation) has become the regulator for all qualifications in Northern Ireland. If you require any information regarding regulated qualifications please contact CCEA Regulation at ccearegulation@ccea.org.uk.”

1.2. Aims of Training for Success 2013

1.2.1. *Training for Success 2013* aims to:

- prepare participants for apprenticeships and employment;
- provide participants with access to regulated qualifications; and
- address individual barriers to learning where appropriate and relevant.

1.3. Key Elements of Training for Success 2013

1.3.1. The Key Elements of *Training for Success 2013* are:

- four strands – Skills for your Life, Skills for Work level 1, Skills for Work level 2, and Skills for Work level 3;
- individual learning programmes to address barriers to learning and employment;
- common curriculum of personal and social development, employability, professional and technical skills, and Essential Skills, leading to regulated qualifications;
- a Personal Training Plan (PTP) that is discussed and agreed between each participant and the Supplier detailing the targeted outcomes, progression routes, and associated milestones;
- work placement with a host employer; and
- non-means tested Educational Maintenance Allowance (EMA) payable to the participant.

2. DEFINITIONS

2.1.1. For the purpose of interpreting this document, the terms set out in this section shall have the meanings ascribed to them below:

Acute Absence	Absence of no more than 15 consecutive working days including unauthorised and/or sick absence.
Care Leavers	Young people who qualify under the Children (Leaving Care) Act (NI) (2002)
CMS	The Department's central Client Management System (CMS) database. It is used for Claims Processing, Approval Requests and recording Training History. It is linked to Trainee Management System - a software package to assist Suppliers in the administration arrangements for <i>Training for Success 2013</i>
Claim Period	Thirteen four-weekly periods across the financial year in which Training Suppliers must submit claims to the Department's Commercial Services Branch (<i>Payment Processing</i>). Details are contained at Annex 6. Suppliers are notified annually of revisions.
Directed Training	Training and assessment, conducted on the Supplier's premises, as distinct from practical experience gained on work placement
Dismissal	The penalty incurred on accrual of three incidents of suspension for Serious Misconduct or two incidents of suspension for Gross Misconduct

DSS	Disability Support Supplier – a supplier contracted by the Department to deliver Disability Support to participants with a disability in <i>Training for Success 2013</i>
Hazardous Activity	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
Learning Record Service	Internet-based register of learners; www.learningrecordsservice.org.uk
Level 1 Qualification	A full Level 1 qualification is defined as 5 GCSEs grades D-G, an NVQ Level 1, or equivalent qualification
Level 2 Qualification	A full Level 2 qualification is defined as 5 GCSEs grades A*-C, an NVQ Level 2, or equivalent qualification
ORF	Output Related Funding – funding payable to Suppliers based on the delivery of specified outputs
Paid Leave for Participants	Period of Leave from <i>Training for Success 2015</i> without deduction from EMA.
Prolonged Absence	Absence of more than 15 consecutive working days including sickness.
PTP	Personal Training Plan
Suspension	The penalty imposed for incidents of either Serious Misconduct or Gross Misconduct. The periods of suspension are 2 weeks and 4 weeks respectively.
RRQ	Register of Regulated Qualifications
TMS	Trainee Management System - a software package to assist Suppliers in the administration arrangements for

	<i>Training for Success 2013</i> . It is linked to the Department's central Client Management System (CMS) database and caters for an automated client registration process, with Suppliers being linked electronically to CMS.
Unique Learner Number	A 10-digit reference number used alongside the Personal Learning Record (PLR)
Young Person with a Disability	A person under the age of 22 who has a disability as defined by the Disability Discrimination Act 1995

3. PROGRAMME CONTENT

3.1. Programme Structure

3.1.1. The *Training for Success 2013* programme consists of the following four strands:

Skills for your Life;
Skills for Work level 1;
Skills for Work level 2; and
Skills for Work level 3.

3.1.2. These strands are described in more detail in Sections 3.2.

3.1.3. The *Training for Success 2013* programme will consist of a common curriculum across all strands. Participants will be required to achieve targeted qualifications in each of the four areas outlined below and at a level aligned to their previous attainment:

Personal and social development; employability skills; professional and technical skills; and Essential Skills in Communication, Application of Number, and ICT;

3.1.4. These curriculum areas are described in more detail in Section 3.3.

3.1.5. All participants will receive an entitlement of up to 104 weeks on the *Training for Success 2013* programme, or up to 156 weeks for those with a disability who have an identified need for additional time. In limited circumstances, participants on Skills for your Life may be entitled to an extension to their entitlement; see Section 7.10 for further details.

3.1.6. Subject to these maximum periods, Suppliers must progress participants through the strands at a pace appropriate to individual needs and in line with prior achievements. Individual participant progress will be monitored by Departmental officials and the Education and Training Inspectorate (the Inspectorate).

3.2. Programme Strands

3.2.1. For instructions on choosing the appropriate strand in which to enrol applicants, please refer to Sections 3.2 and Sections 5.9 to 5.13.

Skills for your Life

3.2.2. This strand is designed to address the personal and development needs of young people who have disengaged from learning and/or have significant barriers to education, training or employment including Essential Skills needs. It is designed to address the need for more focused provision for the significant minority of young people for whom Skills for Work is not suitable.

3.2.3. Suppliers must ensure that the training provides high levels of pastoral care, support, encouragement and concern for the holistic welfare and development of the participant. It is important that training is carried out in the context of careers information, advice and guidance.

3.2.4. Suppliers must encourage participants to develop and take ownership of a progression pathway designed to suit their individual motivations and to address their needs. The programme of training should include a combination of directed training and work experience to develop their employability skills.

3.2.5. Suppliers must ensure that participants are given the opportunity to achieve appropriate regulated qualifications, the majority of which may be at entry level. The targeted qualifications selected must ensure that participants are equipped with the skills and competences to progress to further training and/or employment.

3.2.6. Suppliers must complement the targeted qualifications with a programme which also contains:

- mentoring and effective pastoral care;
- on-going careers information, advice, and guidance

- work placement and / or job sampling
- social and cultural awareness; and
- recreation and creativity.

Skills for Work Level 1

3.2.7. This strand is designed to help young people gain skills and qualifications at Level 1, to be able to gain employment, to progress to Skills for Work Level 2 or *ApprenticeshipsNI*.

3.2.8. Suppliers must offer participants two pathways on this strand, as follows:

- work sampling: for those participants who are unclear about a preferred occupational area. They should undertake a period of work sampling followed by professional and technical training in their chosen occupational area; and / or
- professional and technical training: for those who have already chosen an occupational area or who do so after a period of job sampling.

Skills for Work Level 2

3.2.9. This strand is designed to ensure that those participants who have been assessed as capable of achieving at Level 2, but who have not yet secured employment, are prepared for future progression to an apprenticeship.

3.2.10. Under this strand, Suppliers must ensure that participants undertake the knowledge based requirements of the apprenticeship framework in their chosen occupational area. Where knowledge based component (previously referred to as Technical Certificate) has been withdrawn from the framework and incorporated within the overall regulated qualification, participants must undertake the full Professional and Technical qualification specified on the level 2 framework. In addition, if a participant has not already achieved Level 1 or equivalent in all three Essential Skills areas they must work towards achieving the Level 1 in each.

Skills for Work Level 3

- 3.2.11. This strand is designed to ensure that those participants who have successfully completed the Skills for Work Level 2 strand but have not yet progressed to employment can develop Level 3 knowledge and skills.
- 3.2.12. Under this strand, Suppliers must ensure that participants undertake the knowledge based requirements of the apprenticeship framework in their chosen occupational area. In addition, if a participant has not already achieved Level 2 or equivalent in all three Essential Skills areas they must work towards achieving the Level 2 in each.

3.3. Targeted Qualifications (including Essential Skills)

- 3.3.1. Participants will be required to achieve at least one targeted qualification in Personal and Social Development, Employability, Professional and Technical Skills and Essential Skills, except where an exemption exists for Essential Skills (More detailed Guidance on Essential Skills, including advice on Essential Skills exemptions is set out at Sections 3.3.22 to 3.3.33).
- 3.3.2. Suppliers may use combined qualifications to cover the Personal and Social Development and Employability areas of the programme.
- 3.3.3. Suppliers must ensure that the development of employability, personal and social development and Essential Skills are supported and consolidated throughout the professional and technical training.
- 3.3.4. Suppliers must ensure that Participants undertake a programme of learning amounting to a minimum of 72 credits taken from the Register of Regulated Qualifications (RRQ) over their entitlement on the programme. Suppliers must ensure that Essential Skills are completed in addition to these 72 credits.

- 3.3.5. The Department will not specify the number of credits which individuals should take in each curricular area or on each strand of the programme except in the case of a participant progressing from Skills for Work Level 1 (TfS 2008) to *Training for Success 2013* (See 5.7.3); in all other cases this should be determined by the individual need for the type of training.
- 3.3.6. Suppliers must ensure that Participants do not replicate learning which has already been undertaken prior to entering training. Suppliers must establish whether the participant has already undertaken vocational education, employability training and personal and social development education, and design a programme which builds upon this learning and previous achievement.
- 3.3.7. All of the targeted qualifications must be selected from the Register of Regulated Qualifications (RRQ), (<http://register.ofqual.gov.uk>). The qualifications must be at least one level higher than the participant's assessed level on entry and their prior achievement.

Personal Development Qualifications

- 3.3.8. Suppliers must ensure that Participants achieve at least one regulated qualification in personal and social development. The personal development aspects which participants should develop include:
- understand the personal and social issues which affect them;
 - communicate information, ideas, and opinions clearly and in a style and format appropriate to the purpose and audience;
 - listen and respond appropriately and to engage in discussion;
 - acquire self-confidence through interaction and communication;
and

- participate with increasing confidence and understanding in a range of cultural and recreational, individual and team activities.

3.3.9. In planning provision for personal and social development, Suppliers must:

- seek to promote the young person's self-worth, self-confidence, and sense of responsibility;
- promote health-related topics such as sex education, basic first aid, and awareness of alcohol, solvent and drug abuse;
- promote positive values and attitudes in relation to self and others;
- develop the young person's skills in decision making, problem solving, and inter-personal relationships;
- provide opportunities for the young person to reflect on their own life experiences, decisions, attitudes, values and behaviour;
- create a caring and supportive ethos; and
- consult and collaborate with external support agencies, where appropriate/necessary.

3.3.10. These qualifications must be chosen from the RRQ with a subject sector code of 14.1 (Foundations for Learning and Life).

Employability Qualifications

3.3.11. Suppliers must ensure that Participants achieve at least one regulated qualification in employability skills. This should enhance the participant's ability to:

- work independently or as part of a team;

- develop creative, information-handling and problem-solving skills;
- demonstrate increased motivation and positive attitude to work;
- identify possible opportunities for training and employment with appropriate progression routes; and
- be able to apply for jobs and interviews.

3.3.12. These qualifications must be chosen from the RRQ with a sector subject area code of 14.2 (Preparation for Work).

Professional and Technical Qualifications in Skills for Life and Skills for Work Level 1

3.3.13. Suppliers must ensure that participants achieve regulated professional and technical qualifications. These may be knowledge based or competence based.

3.3.14. Suppliers must ensure that participants have access to training to develop their professional and technical skills in their chosen occupational area and allow them the opportunity to progress to an apprenticeship, as appropriate. Suppliers must be mindful of the need to comply with specified industry requirements in considering the occupational area a participant is to follow and assess their suitability for their chosen occupation. Such factors may include whether the participant meets any health or other requirements (e.g. colour vision, working at heights or in confined spaces, allergies which may deem occupational choice unsuitable). Where doubts persist, the participant must be referred to a careers advisor for advice and guidance on alternative career choices.

3.3.15. Suppliers must use the full flexibility of the Register of Regulated Qualifications (RRQ) and should seek to 'stretch' participants by providing access to higher level units where appropriate to participant's needs, or by including higher level units as part requirements to achieve a qualification, where this is specified in a qualification pathway.

Professional and technical Qualifications in Skills for Work Level 2

- 3.3.16. Suppliers must ensure that Participants who are capable of achieving at Level 2 are undertaking qualifications which will facilitate their progression into employment. They must therefore undertake qualifications which are specified on an *ApprenticeshipsNI* framework, appropriate to their chosen occupational area.
- 3.3.17. Suppliers must ensure that participants complete the knowledge based strand of the appropriate *ApprenticeshipsNI* framework, or, where knowledge and competence components have been combined, participants must take the Combined Qualification on the *ApprenticeshipsNI* framework. (See also 5.7.3).
- 3.3.18. Suppliers must ensure that participants complete the Essential Skills requirements of the appropriate *ApprenticeshipsNI* framework as a minimum but be facilitated to achieve higher.
- 3.3.19. Suppliers must ensure that participants complete the Employee Rights and Responsibilities strand of the appropriate *ApprenticeshipsNI* framework.
- 3.3.20. Suppliers must ensure that participants complete any additional mandatory requirements specified on the appropriate *ApprenticeshipsNI* framework.
- 3.3.21. Suppliers must ensure participants' competence based learning is assessed. This assessment must contribute to the qualification specified on the Level 2 *ApprenticeshipsNI* framework.

Essential Skills

- 3.3.22. Suppliers are required to deliver the Essential Skills of Literacy and Numeracy at Entry Level, and Communication, Application of Number, and ICT at Levels 1 & 2. The Department recently completed a Refresh of Essential Skills focussing on the standards, curriculum and assessment arrangements. An outline of the revised standards was issued to all Suppliers in Training for Success 2013 Memo 8/2016 in February 2016. The refreshed curriculum will be published shortly and will be available on the DfE website in due course.
- 3.3.23. The Essential Skills requirements can be met either through the achievement of Essential Skills Qualifications or through a relaxation/concession. Those who are following a *Training for Success* strand and have achieved any of the following qualifications in English, English Literature or Mathematics, are not required to undertake the corresponding Essential Skills qualification at level 1 or 2:
- A level (grades A-E) / AS level (grades A-E);
 - GSCE (grades A*-C);
 - Irish Leaving Certificate /higher level (grades A-D)/ordinary / standard level (grades A-C);
 - Key Skills at level 1 or level 2;
 - Functional Skills at Level 1 or Level 2;
 - Essential Skills Wales at Level 1 or 2;
 - Core Skills Scotland
 - Intermediate 1 and 2 (grades A-C) (Scotland); or/General Standard Grade (Scotland)
 - SCQF Level 4 and 5.

- 3.3.24. 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 and therefore a payment must not be claimed.

Essential Skills Delivery

- 3.3.25. Under *Training for Success*, participants must be targeting a qualification at least one level above their prior achievement in English and/or mathematics or where no prior achievement exists, their assessed level.
- 3.3.26. 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, Suppliers must provide the participant with an opportunity to work towards an Essential Skill qualification at level 2.
- 3.3.27. Where a participant presents with an ICT qualification that is equivalent to a Level 2 on the Register of Regulated Qualifications (RRQ) then there should be no requirement to undertake the Essential Skill of ICT.
- 3.3.28. Suppliers must deliver Essential Skills teaching programme which make full use of the context of the participant's professional and technical area and/or social and personal interests.
- 3.3.29. Suppliers must ensure that Essential Skills courses are at least 40 hours duration per Essential Skills area unless the initial assessment process indicates that the participant is capable of achieving their Essential Skills qualification in a shorter period.
- 3.3.30. In those instances where the initial assessment process indicates that the participant is capable of achieving their Essential Skills qualification in a shorter period Suppliers must:
- 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.

3.3.31. Further information on delivery of Essential Skills will be available on the DfE website following publication of the refreshed curriculum. The refreshed curriculum will be published shortly and will be available on the DfE website in due course.

Essential Skills Tutor Education

- 3.3.32. Essential Skills tutors delivering Literacy/Communication, Numeracy/Application of Number, and ICT must be qualified as set out in the Department's Circular: ES 01/12 – Qualifications Required to Deliver Essential skills in NI. This circular can be downloaded at <https://www.economy-ni.gov.uk/publications/es-0112-qualifications-required-deliver-essential-skills>
- 3.3.33. Any queries regarding any aspect of Essential Skills qualifications should be forwarded in writing to Training Programmes Branch in the first instance.

3.4. Headline Programme Target

- 3.4.1. Suppliers must ensure that a minimum of 65% of all participants who are enrolled in *Training for Success* over the lifetime of this contract achieve all targeted qualifications detailed in their PTP within agreed training period.

4. PROMOTION OF TRAINING FOR SUCCESS

4.1. Advertising, Marketing and Branding

- 4.1.1. Training Suppliers must ensure that any advertising/promotional material clearly 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.
- 4.1.2. The Department's Skills to Succeed identity has been developed as an overarching brand for its skills initiatives in Northern Ireland. Using a consistent branded feel for all Skills to Succeed marketing and advertising will maximise its effectiveness. Although the same design is shared by all programmes it is important that each programme can be identified in its own right. The logos for each programme and initiative are distinguished from one another by a secondary colour-this includes the positive tick icon. For Training for Success please use the one with the green tick – Starter Skills 16-18. Suppliers are free to market *Training for Success 2013* themselves, provided they comply with the guidelines included in the interim attached PDF document Corporate Identity Skills to Succeed (STS) – Branding Guidelines. The Department's logo and relevant programme logo must appear on the front of all promotional materials.
- 4.1.3. If you require further information or have any questions about the correct use of the DfE logo or *Training for Success* creative materials please direct your query to trainingforsuccess@economy-ni.gov.uk. The Department should always be approached to seek approval on designs featuring the campaign identity, prior to going to print.
- 4.1.4. The European Social Fund logo should not be used on promotional or marketing materials for entry to the programme after September 2015

4.2. Recruitment Activity

- 4.2.1. Suppliers must not actively promote their services in contract management areas in which they do not hold a contract.
- 4.2.2. Suppliers must conduct their recruitment activities in a manner that is not prejudicial to the interests of individual young persons.

5. ELIGIBILITY AND ENROLMENT

5.1. Guarantee Group

- 5.1.1. 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 Training for Success.

5.2. Eligible Persons

- 5.2.1. Suppliers must ensure that they accept applications from people who meet the eligibility criteria set out in this Chapter.
- 5.2.2. To be eligible to enter *Training for Success*, a person must be unemployed unless they are a school leaver who was in summer employment.
- 5.2.3. In addition, to be eligible to enter *Training for Success*, a person;
- must have attained the minimum school leaving age and be under 18 years of age. A 17 year old who reaches age 18 on or after 2nd July and before the second Monday in September, will be treated as an eligible young person and be able to enter *Training for Success*, provided that they start training during the week commencing on the first Monday of September. Any pupil whose 16th birthday falls between 2nd July and the 1st July the following year (inclusive) may leave school on 30th June at the end of that academic year and is therefore only eligible to enter Training for Success from the first Monday of the following September (see example below);

e.g. A young person reaches age 16 any time between **02/07/15** and **01/07/16** – earliest start date in *Training for Success2013* – **05/09/16**

OR

have a disability and be under 22 years of age (except where paragraph 5.3.1 below applies).

OR

be in the category of “young people who qualify under the Children (Leaving Care) Act (NI) (2002)”, and be under 24 years of age (except where paragraph 5.3.1 below applies).

5.3. Ineligible Persons

5.3.1. Notwithstanding any compliance with the criteria set out in Section 5.1 above, a person shall not be eligible to enter *Training for Success* if they are:

- in full-time education;
- a student on placement from a full-time further or higher education course;
- a non-EU national who is subject to employment restrictions and/or a time limit on the person’s stay in NI at the time of application to enter training;
- a person who has previously completed their training entitlement as part of another DfE (previously DEL) funded programme, including *Training for Success (2008)*, *Programme-Led Apprenticeships*, *Jobskills*; or
- currently subject to a period of suspension from training due to disciplinary action by a previous Supplier.

5.4. Eligibility in Doubt

5.4.1. If, at any time, the Department considers there is a reason to doubt the eligibility of a person to participate in *Training for Success*, the Department shall have the right to suspend all funding in respect of the young person concerned, pending an investigation. In these cases, a Supplier must immediately, and until further notice from the Department, suspend that individual from participation in the programme.

- 5.4.2. If an investigation determines that the participant in question is eligible, the Department will back-date all appropriate funding. If an investigation determines that the participant in question is ineligible, the Department will recover all monies already paid in respect of their participation.

5.5. Recruitment of School Leavers and those leaving Further Education

- 5.5.1. 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 *Training for Success 2013* until the first Monday in the following September.
- 5.5.2. A 17 year old who leaves school/FE College before 1st June can be admitted to *Training for Success 2013* provision at any time after leaving school.

5.6. Rejoiners

- 5.6.1. Where a young person who has undertaken any period of training as part of Jobskills or *Training for Success 2008* prior to 28th June 2013, has left the programme without completing their full entitlement of training weeks, Suppliers must not re-enrol them at the start of the programme but must permit them to rejoin their previous programme of training for their remaining balance of weeks up to the maximum set out in the relevant programme guidelines provided they still satisfy the programme eligibility criteria.
- 5.6.2. Where a young person has left *Training for Success 2013* programme without completing their full entitlement of training weeks, they may rejoin the programme for their remaining balance of weeks up to the maximum set out at paragraph 3.1.5 provided they still satisfy the programme eligibility criteria set out in Section 5 (see paragraph 5.2 to 5.2.3).

- 5.6.3. Suppliers must fully consider the participant's progress/achievements and ensure that these are documented on the Re-join PTP and that milestones are set accordingly.

5.7. Participants Progressing from Training for Success 2008

- 5.7.1. Participants who began *Training for Success* prior to 28th June 2013 and are now progressing into the next strand (i.e. Skills for Your Life to Skills for Work, or Skills for Work to Level 2 provision) must progress onto the new strand as set out in these Guidelines.
- 5.7.2. Participants progressing from Skills for your Life (*TfS2008*) will have an entitlement of up to 104 weeks. Participants progressing from Skills for Work Level 1 to Level 2 will have an entitlement of up to 52 weeks. For administration purposes, the latter should be treated as Rejoins to the programme.
- 5.7.3. Participants progressing from Skills for Work Level 1 in TfS2008 to Skills for Work Level 2 in Training for Success 2013 must undertake the Knowledge Based qualification associated with the Apprenticeship Framework appropriate to their chosen occupational area, or, where knowledge and competence components have been combined, participants must take the Combined Qualification. Participants must achieve a minimum of 37 credits drawn exclusively from the Knowledge Based component or Combined Qualification. The electronic PTP includes a credit exemption option to allow for this. Details on completion are set out in TMS Memo 10/13 (15.18) issued for *Training for Success 2013*. This condition applies only to participants in this category.

5.8. Participant Registration

- 5.8.1. Following a participant's presentation at a Supplier, that Supplier, having established the participant's eligibility, must register the participant as having started training on *Training for Success*.

- 5.8.2. Suppliers must register the participant's information on the day that the individual commences training participation.

5.9. Strand Enrolment Criteria

- 5.9.1. Participants must be initially registered on the strand of the programme in line with the enrolment criteria set out at Sections 5.10 to 5.13 below.
- 5.9.2. When selecting the appropriate strand, Suppliers must be mindful of the following issues:
- poor literacy and numeracy skills have negative effects on the ability of participants to achieve in their professional and technical programme; and
 - the Department wishes to ensure participants progress to their highest possible level of achievement.

5.10. Enrolment on Skills for Your Life

- 5.10.1. Suppliers must register participants on this strand if:
- they have no formal qualifications; and/or
 - they have substantial barriers to employment and learning.
- 5.10.2. Suppliers must be mindful of the aim of progressing participants enrolled in this strand to higher level training or employment.

5.11. Enrolment on Skills for Work Level 1

- 5.11.1. Suppliers must register Participants on this strand if they satisfy the following conditions:
- they have achieved at least one formal qualification but their achievements do not amount to a full Level 1 qualification; or
 - they have a full Level 1 qualification but do not meet the entry requirements in English and Mathematics (or equivalent) for Skills for Work level 2. In this

case Suppliers must enrol participants on this strand and ensure that the participant works towards their Essential Skills qualifications as a priority. As soon as they have achieved their Essential Skills qualification, they should be moved into the level 2 provision in order to maximize their achievements on the programme. The rate of progress of individual participants will be monitored by Departmental officials.

5.12. Enrolment on Skills for Work Level 2

5.12.1. Suppliers must register Participants on this strand if they satisfy the following conditions:

- they have achieved a full Level 1 qualification and have the appropriate grades in GCSE English and Mathematics or Essential Skills in Communication and Application of Number as set out in Section 5 paragraph 5.12.2 below; or
- if they have previously been enrolled in Skills for Work Level 1, have achieved all their targeted qualifications under that strand and have achieved the appropriate grades in English and Mathematics or Essential Skills in Communication and Application of Number as set out in paragraph 5.12.2.

5.12.2. The appropriate grades in GCSE English and Mathematics or Essential Skills in Communication and Application of Number as required in above are:

- Essential Skills at Level 2 or GCSE grades A*-D where the *ApprenticeshipsNI* framework being targeted requires a Level 2 Essential Skills qualification; or
- Essential Skills at Level 1 or GCSE grades A*-F where the *ApprenticeshipsNI* framework being targeted requires a Level 1 Essential Skills qualification.

5.13. Enrolment on Skills for Work Level 3

- 5.13.1. Suppliers must not enrol Participants directly on to Skills for Work Level 3.

- 5.13.2. Suppliers may only progress a participant to the Level 3 strand provided the participant has achieved all targeted qualifications at Skills for Work Level 2, has been unable to secure employment, and has not yet reached the maximum number of weeks in training as set out in paragraph 3.1.5.

6. INDUCTION AND INITIAL ASSESSMENT

6.1. Induction

- 6.1.1. Suppliers must ensure that, on commencing *Training for Success 2013*, each participant undergoes formal induction to brief them thoroughly about all elements of their participation.
- 6.1.2. In delivering induction, Suppliers must cover the topics outlined in Sections 6.1.5-6.1.17 below.
- 6.1.3. Suppliers must reinforce this information throughout the programme to ensure participants remain familiar with the content.
- 6.1.4. Signed copies of the induction checklist contained within the model PTP (15.1 Annex 1) must be retained for inspection by Departmental officials.

Information about *Training for Success*

- 6.1.5. Suppliers must provide all participants with a copy of the Participant Handbook (see 15.15 Annex 15).
- 6.1.6. Suppliers must provide all participants with information on the terms and conditions of the programme, including hours of attendance, holiday entitlement, absence due to sickness, travel conditions and allowances and financial incentives for the participant.
- 6.1.7. Suppliers must provide all participants with information on the relevant curriculum content of their intended programme of study, progression routes and possible career opportunities.

- 6.1.8. Suppliers must provide all participants with information on best practice regarding safe working practices in the chosen occupational area.
- 6.1.9. Suppliers must provide all participants with information on participant responsibilities under *Training for Success 2013*.
- 6.1.10. Suppliers must provide all participants with information on the process involved in creating a Personal Training Plan (PTP), the purpose of the PTP and its role throughout the participant's time on *Training for Success 2013*.
- 6.1.11. Suppliers must provide all participants with information on the Progress File, its purpose and content. (See paragraph 7.9.1)
- 6.1.12. Suppliers must provide all participants with information on the process involved in the initial assessment of their Essential Skills.

Information about the Supplier

- 6.1.13. Suppliers must provide all participants with a general introduction to the Supplier's premises, including emergency exits, fire drill, assembly points and domestic facilities.
- 6.1.14. Suppliers must provide all participants with information on the Supplier's complaints and formal appeals procedure and on how the participant can escalate a complaint to the Department.
- 6.1.15. Suppliers must provide all participants with information on the support services available to the participant from the Supplier.
- 6.1.16. Suppliers must provide all participants with the name and contact details of a nominated key contact within the Supplier's organisation.
- 6.1.17. Suppliers must provide all participants with the name and contact details of each participant's Careers Advisor who will provide advice and guidance.

6.2. Initial Assessment

- 6.2.1. Suppliers must conduct an initial assessment of each participant in order to determine the level of their existing skills and competences and to plan for future development. The purpose of this initial assessment is to identify each participant's strengths and weaknesses in relation to personal development, employability, professional and technical training, and Essential Skills, as well as to assess which level of the programme is most appropriate to meet their needs. Initial assessment must also examine the participant's motivations in order to ensure that they have chosen the appropriate occupational area (where relevant). See also 3.3.14.
- 6.2.2. The initial assessment of participants must be made in conjunction with the Careers Adviser, parents, schools, social services, and any other agencies as appropriate.
- 6.2.3. This assessment must be conducted over a minimum of 4 weeks and must be complete within 12 weeks from the participant's start date on programme.
- 6.2.4. Suppliers must include the following elements in their Initial Assessment activity:
- interviews to determine the interests, motivations, and aptitude of the participant;
 - assessment and analysis of prior learning and recording of prior achievements;
 - the provision of careers information, advice and guidance;
 - identification of Essential Skills needs (See paragraphs 6.2.5 and 6.2.6 below);
 - analysis of reports from others (including the Progress File);

- identification of existing personal, social and occupational competencies; and
- identification of any barriers to learning or employment including learning disabilities or other support needs.

- 6.2.5. The initial assessment of each participant's essential skills must include identification of those participants who already have a level 2 qualification in English and/or Mathematics and ICT. Participants who hold a relevant level 2 qualification in English, Mathematics or ICT will be considered to have met the Essential Skills requirements.
- 6.2.6. For the remaining participants, the initial assessment process should include rigorous initial and diagnostic assessment that includes a screening of each participant's prior academic achievement in English, Mathematics and ICT. Evidence of the mode and outcome of this assessment must be held for evaluation and inspection by Departmental Officials and the Inspectorate.
- 6.2.7. Where a *Training for Success 2013* participant will be taking part in a regulated work placement 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*. Suppliers must apply for this check during the participant's initial assessment period in line with Sections 7.4 and 8.7.
- 6.2.8. Suppliers must use the results of the initial assessment to determine the level of training to be targeted by the participant and to plan individual programmes of learning which reflect accurately the participant's prior achievements and development needs.
- 6.2.9. Suppliers must conclude the initial assessment process by creating an individualised PTP for each participant that is tailored to meet their personal and training development objectives, including their Essential Skills requirements.

6.3. Personal Training Plan

- 6.3.1. The Department considers the PTP to be a fundamental component of the *Training for Success 2013* programme. It views the efficacy of the PTP process as a key indicator of the quality of a Supplier's provision.
- 6.3.2. The PTP serves two functions:
- the hard copy version is a working document which must reflect each participant's starting point and record their progress throughout their programme; and
 - the electronic version is used to trigger start payments in respect of each participant. Instructions on the completion of the electronic version of the PTP for drawing down funding are included in Section 13, paragraph 13.2.2.
- 6.3.3. Suppliers must complete the PTP within 12 weeks from the participant's start date on programme but must not submit the PTP until at least the first four weeks of the initial assessment period has been completed. Participants must not start a work placement until after their PTP has been completed.
- 6.3.4. Suppliers should ensure that participants who leave the programme before the completion of their PTP, and who subsequently seek re-entry to the programme, are referred to the Careers Service for the issue of a training credit prior to rejoining the programme.

6.4. Completion of Hard Copy PTP

- 6.4.1. A template for the hard copy PTP is provided at 15.1 Annex 1 and Suppliers must ensure that each participant's PTP is fully complete.
- 6.4.2. Suppliers must develop coherent, individual learning pathways which reflect any prior achievements or progress made during the initial weeks of participation on *Training for Success* and record these pathways in the PTP.
- 6.4.3. The PTP must include targeted qualifications in each of the common curricular areas necessary to facilitate a participant to progress to their chosen occupation or apprenticeship. Where such qualifications include employability or personal development units as part of a combined qualification, these units should be specified separately on the PTP.
- 6.4.4. In all curricular areas, the targeted qualifications must be at a level higher than each participant's prior achievements. For participants on Skills for Work level 2, these must be at least at level 2.
- 6.4.5. Suppliers must ensure that, where a participant has already achieved a level 1 qualification in Application of Number, or Communication, they work towards an Essential Skill qualification at level 2. Where no prior achievement exists, participants must target a qualification at their assessed level of competence.
- 6.4.6. Where a participant is undertaking targeted qualifications which include competence based learning, Suppliers must specify on the PTP, how they will assess this competence and provide information on how this approach will facilitate the completion of the relevant qualification.
- 6.4.7. Suppliers must keep PTPs available for inspection by Departmental officials and by the Inspectorate at all times. Failure to develop appropriate, individualised PTPs and to ensure that all relevant sections are complete will result in recovery of funding by the Department.

- 6.4.8. Suppliers must ensure that each participant receives an up to date copy of their PTP on completion or amendment.

6.5. Reviewing the PTP

- 6.5.1. Supplier must monitor and review participants' progress against the targets and objectives contained in their PTPs and make revisions where necessary. This must be carried out in conjunction with the participant. A change of occupational area within *Training for Success* does not require a resubmission of a PTP, (see Page 122 for Review and Monitoring Form)
- 6.5.2. Supplier must conduct reviews of individual participant progress against the targets outlined in their PTP every 4 weeks for Skills for Your Life participants and every 6 weeks for Skills for Work participants. (see Page 122 for Review and Monitoring Form)

6.6. Recording Attendance on the PTP

- 6.6.1. Suppliers must indicate the attendance pattern to be followed on a participant's PTP.
- 6.6.2. Where a Supplier who is taking advantage of the flexible attendance requirements for Skills for Life under Section 11.2 has been unable to find a work placement for a participant, and as a result, the participant is unable to attend for 30 hours per week as set out in Section 11.2.4, the participant's PTP must include this information and the actions being undertaken to ensure that the participant can meet the attendance requirements as soon as possible. The PTP must also specify a date, which must not be later than week 26 of their time on the programme, by which the participant will attend 30 hours per week.
- 6.6.3. Where a Supplier is taking advantage of the flexible attendance requirements for Skills for Work 1 under Section 11.3 and a participant is unable attend for 30 hours per week as set out in Section 11.3.3, the participants PTP must clearly state the reasons for this, and the actions being undertaken to ensure that the

participant can meet the attendance requirements as soon as possible. The PTP must also specify a date, which must not be later than week 26 of their time on the programme, by which the participant will attend 30 hours per week.

6.7. Transfer of PTP to New Supplier

- 6.7.1. If a participant transfers from one Supplier to another approved Supplier, the participant's PTP and progress achieved must be made available to the new Supplier. Suppliers must ensure that all participants are made aware of this procedure.

7. TRAINING DELIVERY

7.1. Registration with Awarding Organisations

- 7.1.1. Suppliers must register each participant with an appropriate Awarding Organisation by the end of the first 12 weeks of training, or be able to provide evidence that application for registration has been made.
- 7.1.2. Where block registration is used, Suppliers must record the block registrations held and their allocation to individual participants within the 12 week period. Suppliers must adhere to any timescales specified by the Awarding Organisation for the registration of participants. All records relating to registration with Awarding Organisations must be held for inspection by Departmental officials.

7.2. Work Placement

- 7.2.1. Suppliers must ensure that work placements do not begin until the participant has completed their induction period and a full PTP has been agreed.
- 7.2.2. Suppliers must establish close links with employers to ensure good quality and appropriate work placements for participants on all strands of *Training for Success*.
- 7.2.3. Suppliers must complete a Delivery Agreement (0, Annex 4) in advance of every work placement, to allow the participant, the Supplier, and the host employer to agree on the specific activities that will take place and to allow all stakeholders to agree on the relative benefits and responsibilities within any work placement. Activities and their timing within the work placement must be chosen so as to address the identified needs of the participant. Copies of all Delivery Agreements must be maintained by Suppliers for inspection by Departmental officials.

- 7.2.4. Suppliers must monitor the progression of participants in work placements with host employers and be satisfied that the host employer is complying with the terms of the Delivery Agreement.
- 7.2.5. For all participants on work placement, Suppliers must agree hours of attendance with the participant and the host employer. Suppliers must ensure that participants are not 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.
- 7.2.6. Where a Supplier cannot find a work placement in the participant's chosen occupational area, the Department will permit a work placement in a related occupational area, where transferable skills can be demonstrated. Where no relevant work placement can be found, a Supplier must provide robust evidence of its attempts to source a work placement, and must retain this evidence for inspection by Departmental officials.
- 7.2.7. However, exceptionally, and in an acknowledgement of the difficulties experienced by some Suppliers in securing work placements for participants in the current economic climate, the in-house attendance requirement was relaxed to 21 hours in previous provision towards the end of 2010. Participants used the balance of their time completing agreed work activities allocated and evidenced by the Supplier.
- 7.2.8. Some suppliers may find it is necessary to continue with this pattern at the onset of the current contracting period. However, the absence of a work placement for an individual must be seen as an exceptional and temporary circumstance. 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. Suppliers must comply with all requests made by Training Programmes Branch on behalf of the Department to supply information on participant placements.

- 7.2.9. The absence of a work placement for an individual must be seen as an exceptional and temporary circumstance. The Department will monitor the situation closely on an individual Supplier basis.

7.3. Placement or Training outside Northern Ireland

- 7.3.1. A *Training for Success 2013* participant can only be placed with a host employer outside Northern Ireland (NI) if an appropriate work experience placement is not available in NI. The approval of the Department must be obtained before placing a participant in a work placement outside NI. Suppliers must compile written evidence of attempts to obtain work experience placements within NI and retain this for inspection by Departmental officials.
- 7.3.2. Where any training needs to be delivered outside the UK, Suppliers must advise participants who are in receipt of benefits of their obligation to inform the Social Security Office/Jobs and Benefits Office of their intention to train outside the UK.

7.4. Placement of participants in Care Settings

- 7.4.1. A participant whose PTP specifies an occupational aim in the caring sector must be informed by the Supplier that the placement and training in that sector will be subject to a satisfactory check under AccessNI.
- 7.4.2. Suppliers must ask a prospective participant who will be working with young people or vulnerable adults to declare any reason why they might not be accepted for such training. Where a participant is found to be unsuitable for such a work placement, they must be referred to a Careers Adviser to enable alternative training in a different occupational area to be sourced.

7.5. Multiple Placements with one Employer

- 7.5.1. Suppliers must ensure that there is a proper balance between the employees of a host employer or training partner and the number of participants being placed with that host employer / training partner.
- 7.5.2. Before placing a participant with a host employer, it is the responsibility of the Supplier to ascertain the number of participants already in placement with the host employer (including those from other Suppliers), and to evaluate the quality of training to be provided. Suppliers must not place more than one *Training for Success 2013* participant for every five employees in any one occupational area, and at any one training address, of the host employer.

7.6. Monitoring of Participants

- 7.6.1. Suppliers are required to monitor the progress of each participant to ensure that:
- the training being provided meets the training objectives, including the required Essential Skills (if appropriate) specified in the PTP;
 - the targeted qualifications including the Essential Skills (if appropriate) are being achieved; and where this is not the case, suitable arrangements are being made for alternative training;
 - achievements are recorded on the PTP, in the 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.

7.7. Summative Assessment

- 7.7.1. Suppliers must carry out summative assessment of participants in order to establish whether a participant has achieved the required level of learning. This must be done in the context of all of the regulated qualifications targeted, but it is equally important to assess a participant's progress in their personal effectiveness, personal and social development needs, and Essential Skills.
- 7.7.2. If a careers guidance issue arises during summative assessment, the Supplier must refer the participant to a Careers Advisor.

7.8. Recording Achievement

- 7.8.1. In addition to updating the PTP to record achievement, the Progress File should also be updated. The Progress File should contain as a minimum:
- an updated or new Curriculum Vitae;
 - an updated or new personal statement; and
 - an updated or new list of achievements.
- 7.8.2. Progress File materials can be ordered from the Council for the Curriculum, Examinations and Assessment (CCEA). Progress File materials will only be provided for participants who are on *Training for Success*. To request an order form, please contact Mr David Crosbie (Tel: 028 9026 1200 ext 2261 or email: dcrosbie@ccea.org.uk).

7.9. Progression

- 7.9.1. Suppliers must maximise the outcomes available to young people by ensuring they achieve the highest level of qualifications available within the programme during their period of registration, as well as progression into employment, *ApprenticeshipsNI* or further education. The outcomes available to participants will vary depending on the initial level of achievement, the aptitude and application of the individual, the barriers to learning and employment, and the speed of learning.
- 7.9.2. Suppliers must maximise the flexibility in the Register of Regulated Qualifications (RRQ) to allow progression to occur easily by transferring unit achievement where appropriate and providing units and assessment at higher levels in part attainment of lower level qualifications.
- 7.9.3. Suppliers should progress participants to a higher strand or to employment, *ApprenticeshipsNI* or further education at the earliest opportunity. In order to facilitate progression to a higher strand, it will not be necessary for participants to complete the qualifications specified on their PTP under two conditions:
- if unit achievement can be transferred to a higher level qualification (in this case, suppliers must ensure that the units already achieved form part of the targeted qualification at the new, higher level and contribute to the award of that qualification); or
 - if that unit achievement can be accredited in its own right as a smaller (in terms of total units) qualification than the one originally targeted (in this case Suppliers should ensure that the participant receives the accreditation and award of the smaller qualification).
- 7.9.4. Relevant and up-to-date information must be made available to participants on progression paths appropriate to their achievements and future targets.

- 7.9.5. An exit interview must be conducted by the Supplier at least 6 weeks before the participant completes their period of training on the programme in order to allow the Supplier to plan ahead and address administration issues. If a participant is not progressing to employment, further education or training, the Supplier must refer them to the Careers Advisor to discuss further options.
- 7.9.6. Where a participant wishes to pursue an apprenticeship and a Supplier does not hold an *ApprenticeshipsNI* contract, the Supplier must refer the participant to the Careers Advisor for guidance and advice on the *ApprenticeshipsNI* Suppliers within the locality at an appropriate time and no less than 6 weeks before the participant is due to complete his/her entitlement on *Training for Success 2013*.
- 7.9.7. In circumstances where the participant leaves before completing their entitlement on the programme, this exit interview must be conducted as soon as it is known that they intend to leave *Training for Success 2013*.

7.10. Extensions to Training Entitlement

- 7.10.1. There will be **no** extensions to the maximum training entitlement set out at Section 3, paragraph 3.1.53.1.5 for participants who enter the programme at any level on Skills for Work.
- 7.10.2. Participants who enter the programme on Skills for your Life may be entitled to additional time to achieve a Level 2 professional and technical qualification, if they satisfy the following conditions:
- they must have progressed to Level 2 prior to the end of their entitlement;
 - they must have evidence of achievement of a professional and technical qualification at Level 1;

- they must have achieved Essential Skills in Application of Number, Communication and ICT at Level 1; and
- there must be evidence of the potential to achieve a professional and technical qualification at Level 2.

7.10.3. A change of occupational area will not allow participants to have a further entitlement of weeks on the programme.

7.10.4. Suppliers must request permission to extend a participant's time on the programme from the Department in writing at least 12 weeks before their entitlement is due to end. Suppliers must specify the length of time for which the extension is required and provide detailed evidence of the course of learning which will be followed during this period. The length of the extension should be justified in terms of the qualification which is being undertaken and the number of guided learning hours attached to the qualification. Applications should be submitted in writing to trainingforsuccess@economy-ni.gov.uk (See also paragraphs 14.10.3 and 14.10.4)

7.10.5. Suppliers will receive 50% of the normal weekly training fee for the duration of the extension with the remaining 50% payable as a final payment on the achievement of the Level 2 professional and technical qualification.

7.11. Residential, Visits and Exchanges

- 7.11.1. Where a PTP includes participation in a residential in line with a clear development goal, a request for approval must be submitted to the Department. The request should include details of the participants taking part in the residential, including names and client identification numbers, and a brief description of the activity. See also 14.1.1.
- 7.11.2. When organising Residential Training, Visits or Exchanges, Suppliers must adhere to the guidance contained in the *Guidelines on Residential Training and Visits/Exchanges* as set out in 15.16 Annex 16.

7.12. Consent of Parents or Guardians

- 7.12.1. Suppliers must ensure they have the written consent from a parent or guardian for any participant under the age of 18 taking part in any of the following:
- a course in Great Britain;
 - a residential;
 - a visit abroad (outside the UK);
 - a sea-going activity (excluding normal sea travel, but including water sports);
 - evening or week-end work, or work at other unusual hours; and
 - a hazardous activity

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

7.13. Transfer of Participants

- 7.13.1. Where a participant is transferred to another Supplier approved to deliver *Training for Success*, the former Supplier must transfer all records relating to that participant to the new Supplier, within one week of receiving a request from the new Supplier.
- 7.13.2. Where a participant requires further careers information, advice, or guidance in relation to their options, the new Supplier must refer the participant to the Careers Service.

7.14. Participants Leaving Training for Success 2013

- 7.14.1. Suppliers must email trainingforsuccess@economy-ni.gov.uk as soon as it is known that the participant is likely to leave, is leaving, or has left *Training for Success* with no job or further training in prospect.
- 7.14.2. Where a participant leaves the programme for any reason, Suppliers must complete the relevant sections in both the Hard Copy and Electronic Copy PTP. See Sections 14 paragraph 14.4 and 14.19 for further instructions.

7.15. Matters Arising on Termination of Contracts

- 7.15.1. On contract termination the Department reserves the right to satisfy itself that all the training delivered to date has been at least satisfactory, and records are up-to-date as at the point of closure. This not only relates to the associated administrative systems as determined by Commercial Services Branch (*Contract*

Compliance), previously 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.

- 7.15.2. 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 costs of external 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.

8. COMPLIANCE OBLIGATIONS

8.1. Health and Safety Compliance

- 8.1.1. In addition to the Health and Safety Requirements of the 'Conditions of Contract' issued by the Department, both Suppliers and their training partners (i.e. sub-contractors and host employers) 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.
- 8.1.2. 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.

8.2. Accidents

- 8.2.1. Suppliers are responsible for investigating and reporting all accidents involving a participant, in line with procedures outlined at www.hseni.gov.uk, irrespective of whether it occurs on their own premises, or on those of a training partner. See Section 14.20 for details of how to record accidents on TMS.

8.3. Industrial Injuries Benefit

- 8.3.1. 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 Social Security Agency and copied to Commercial Services Branch (*Payments Processing*).

8.4. Equality Monitoring

- 8.4.1. A Participant Enrolment/Equality Monitoring Form (15.12 Annex 12) must be completed for every participant and the information inputted to TMS. Once this is inputted into TMS, the Participant Enrolment/Equality Monitoring Form should be destroyed.

8.5. Good Relations

- 8.5.1. The Department would encourage all Suppliers involved in the delivery of its provision to take whatever action they can to improve and encourage good 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. The Department will monitor how effectively Suppliers are fulfilling this obligation.

8.6. Political and Controversial Activities

- 8.6.1. Suppliers must not permit any activity which is likely to be seen as indoctrinating a participant or as promoting a particular political, religious, or other controversial viewpoint.

8.7. Safeguarding Vulnerable Groups

- 8.7.1. Suppliers must make sure they are fully compliant with the terms of current legislation relating to the safeguarding of young people and vulnerable adults.
- 8.7.2. Where a *Training for Success 2013* participant is placed in a regulated work placement 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*. Suppliers must apply for this check during the participant's initial assessment period. A participant must not commence any work placement until the result of a satisfactory *AccessNI* Enhanced Disclosure Check has been received by the Supplier.
- 8.7.3. Suppliers should ensure that participants placed with a host employer who operates a number of day care centres should be allocated to, and remain in, one specified centre for the duration of their training.
- 8.7.4. An Enhanced Disclosure Check must be carried out through *AccessNI* for all members of staff, either within a Supplier or training partner, who is in a regulated work position.
- 8.7.5. 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

8.8. EU Charter for Regional and Minority Languages

- 8.8.1. Suppliers must familiarise themselves with the EU Charter for Regional and Minority Languages and any requirements which arise.
www.dfpni.gov.uk/european-charter-for-regional-or-minority-languages

9. PARTICIPANT SUPPORT

9.1. Disability Support

- 9.1.1. Disability support will be available from Disability Support Suppliers (DSS) separately contracted by the Department. These Suppliers are listed at 15.8 Annex 8.
- 9.1.2. Suppliers must work with these organisations to ensure that appropriate arrangements are put in place to assist participants with a disability where such support is deemed to be of benefit to the participant. Not every participant with a disability will require such support.
- 9.1.3. Participants who have a statement of educational need and are participating in the programme should have received pre-entry support from a DSS prior to their start on the programme. If a participant with a statement starts on the programme and has not already been referred to a DSS, the Supplier must refer to Section 0 for the administration process to be followed.
- 9.1.4. The Supplier must work effectively with the DSS to ensure that the individual needs of a participant with a statement of educational need are met.
- 9.1.5. For the purpose of assessing, monitoring, and evaluating the performance of a DSS, 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 inspect all relevant records therein.

9.2. Additional Learning Support

- 9.2.1. The provision of additional learning support is the direct responsibility of the Supplier. Suppliers must ensure that support services, in line with Section 9.2.2 - 9.2.4, are offered directly to participants by qualified and experienced staff or via external providers with the expertise to deliver the support required. (See paragraph 13.3.4).
- 9.2.2. Additional Learning Support should be targeted at participants who are likely to have significant barriers to learning and employment, and/or require additional input of resources in terms of training time, equipment, or support, but do not fall into the disabled category. Suppliers will receive an additional £3 per week for each of these participants. While these participants are most likely to require such support, the funding can be used to support other individuals on other strands of the programme. The additional learning support which is deemed necessary must be detailed on the PTP, with the implementation of the support being subject to review by the Department or its agents.
- 9.2.3. Additional support does not cover speakers of other languages. The Department provides English for Speakers of Other Languages (ESOL) courses as part of its mainstream Further Education provision. ESOL is viewed as a 'stepping stone' to subsequent enrolment in courses provided by the Department.
- 9.2.4. Where a cohort of learners require additional help to succeed in their learning programme, this must be addressed in the design and delivery of the main learning programme, rather than through the use of additional learning support. Moreover, such support must not be used to address needs which can be addressed through the personal and social development and employability aspects of the programme. It should also not be used to address issues that have been covered through the school system.

10. PARTICIPANT ALLOWANCES

10.1. Principles

- 10.1.1. Suppliers must ensure that they pay participant allowances promptly to participants as the entitlement to receive the allowance arises.
- 10.1.2. All equipment necessary for training must be supplied to individual participants free of charge.

10.2. Educational Maintenance Allowance

- 10.2.1. Suppliers must pay Educational Maintenance Allowance (EMA) of £40 per person per week to participants.
- 10.2.2. Suppliers must pay EMA on a weekly basis unless the participant agrees otherwise. The Supplier must continue to pay EMA until the participant completes their period of training under *Training for Success*.
- 10.2.3. Suppliers must commence payment no later than the end of the second week of training. It must be paid to the participant and must be clearly identifiable as a payment of EMA at £40 per week.
- 10.2.4. Suppliers must make appropriate deductions from a participant's EMA in respect of unauthorised absence (see Section 11, paragraph 11.6.2).
- 10.2.5. Suppliers must ensure that participants receive a bonus payment immediately on completion of each of the payment stages as detailed in the funding tables at 15.7 Annex 7. If a participant transfers between Suppliers, the bonus is payable when the next stage is reached.

10.3. Travel Allowance

- 10.3.1. Suppliers must not reimburse participants for weekly travel costs of £3 or less.
- 10.3.2. Where a participant incurs weekly travel costs greater than £3.00 Suppliers must reimburse that participant an amount equal to the amount of cost incurred minus £3.
- 10.3.3. Where a participant has a disability which makes public transport unsuitable or where public or private transport is not available, and the participant wishes to claim the cost of travel by taxi, Suppliers may claim the cost of any such travel from the Department provided approval is sought before the cost is incurred. Supplier should seek approval using form TfS13 (Rev May 2016), 16.11, in line with the claims process as set out at Section 13.6). In circumstances where private transport is not available, the use of taxis must be limited to/from the participant's home to the nearest public transport point.
- 10.3.4. Suppliers must make each participant aware of the amount that the participant is entitled to claim for travel costs.
- 10.3.5. When calculating travel costs for participants who use their own transport the reimbursement must be calculated using a rate of £0.25 per mile.
- 10.3.6. Suppliers should not make any payment of travel allowance to a participant who chooses to travel outside of the contract management area in which they live, when training was available within that area.
- 10.3.7. Suppliers using vehicles, whether owned or hired, for transporting participants between their home and the training location may charge a *Training for Success 2013* 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. Any such costs incurred by a participant are eligible for reimbursement in line with this Section.

10.4. Lodging Allowance

- 10.4.1. In exceptional circumstances, a participant may be eligible for lodging allowance in respect of accommodation. Suppliers must make any necessary applications for such funding, in writing to Training Programmes Branch through Form TfS 16, Annex 16.13.
- 10.4.2. 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.

10.5. Childcare Allowance Eligibility

- 10.5.1. Applications for childcare assistance can be made by 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, and who is:
- a lone parent on *Training for Success*; or
 - a *Training for Success* participant whose partner is also on *Training for Success*, or other Departmental training programmes where Benefit-Based Training Allowance or EMA is being paid; or
 - a *Training for Success* 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).

Contribution Rates

- 10.5.2. The maximum amount of financial assistance per participant per week payable in respect of childcare allowance is set out in 15.10 Annex 10.
- 10.5.3. Suppliers must consider and decide upon applications for childcare costs up to £50 per week. Suppliers must refer applications for childcare costs excess of £50 per week to Training Programmes Branch for consideration. Suppliers must make any such referrals using form TfS 4 on the first day a participant joins *Training for Success*. Suppliers must confirm the age of the child(ren) and the parental status of the participant by inspecting the child(ren)'s Full Birth Certificate(s). Suppliers must only approve the claim or sign the application form when they have had sight of the original full certificate.

10.6. Payments of Childcare Assistance

- 10.6.1. Suppliers must make any payment of childcare allowance directly to the carer to preserve the participant's level of Income Support (if applicable). Suppliers must inform participants how the payments are to be made and the reason for doing so.
- 10.6.2. Suppliers may make payment of childcare to a relative of a participant who is not a Registered Childminder. 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) being cared for.

- 10.6.3. Childcare claims must be calculated on a daily rate per child and based only on the number of days in which the child has been in the childminder's care.

10.7. Childcare Retainer Fees

- 10.7.1. 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 Childminders where the childcare place is temporarily unfilled. Suppliers may make payment of a retainer fee in respect of childcare costs incurred when a participant is absent from training because of illness or annual leave (unauthorised leave or annual leave), and as a result, does not make use of a childcare place for such days, and where the childminding facility's terms and conditions clearly set out that the payment is required for such days. The retainer fees are not payable for periods when the child minding facility is not available.
- 10.7.2. Suppliers must not make payment of retainer fees to anyone who is not a registered childminder.
- 10.7.3. Suppliers may only make payment of retainer fees for up to a maximum of 15 days (pro rata for those not on 30-hours/5 days training) in respect of sickness and up to 25 days in respect of annual leave taken by the participant.

11. PARTICIPANT ATTENDANCE

11.1. Hours of Attendance

- 11.1.1. Suppliers must ensure that a participant attends training or work placement for a minimum of 30 and a maximum of 35 hours per week, inclusive of directed training and work placements/sampling but exclusive of lunch breaks, unless Section 11.2 or Section 11.3 applies. This is to ensure that participants retain their entitlement to non-means tested Education Maintenance Allowance of £40 per week.
- 11.1.2. The Department will not be prescriptive about the number of days per week that the participant must attend the programme.
- 11.1.3. Suppliers must ensure that records of attendance are available for inspection by Departmental officials.
- 11.1.4. Where a Supplier considers that, due to the existence of exceptional personal circumstances, a participant cannot adhere to the prescribed attendance requirements, the Supplier must submit a request for 'Reduced Attendance' to the Careers Adviser for consideration and possible approval. (for administration procedures please refer to paragraph 14.7.3)
- 11.1.5. Unless the exceptions outlined in Sections 11.2 and 11.3 apply, Suppliers should ensure that participants 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 placement. The time on programme is calculated as the total number of supported weeks for the individual minus their holiday allocation.

Suppliers may structure this through a weekly placement, block placements, or a combination provided that the total balance of time spent on the programme fulfils this 60/40 requirement. Participants must not spend any more than eight weeks at

any one time on continuous work placement, i.e. a work placement without any directed training. Participants must not undertake consecutive continuous work 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 placement.

- 11.1.6. The attendance pattern to be followed will be flexible in allowing Suppliers to structure the directed training/work placement balance in a way that better suits their delivery model. 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 placement. However, the Department will reserve the right to recover monies where a participant has spent more than their allocated time on work placement.

11.2. Flexible Attendance in Skills for Your Life

- 11.2.1. For participants on Skills for your Life, Suppliers will be allowed flexibility around the 30 hour requirement in the early stages of the programme as set out in sections 11.2.2 to 11.2.4 below.
- 11.2.2. For the first two weeks of the initial assessment period Suppliers must ensure that a participant attends a minimum of 10 hours per week directed training.
- 11.2.3. For the remaining initial assessment period, up to a maximum of 10 further weeks, Suppliers must ensure that a participant attends a minimum of 21 hours per week directed training.
- 11.2.4. Following the initial assessment period, Suppliers must ensure that a participant attends a minimum of 21 hours per week directed training, until week 26 of the provision at the latest. In addition to the 21 hours of directed training, Suppliers must ensure participants take part in work placements, sheltered work placements, or job sampling, with a view to building up to a minimum of 30 hours

attendance per week as soon as possible but by the end of week 26 of the provision at the latest.

- 11.2.5. From week 26, Suppliers must ensure that participants are in attendance in line with Section 11.1.

11.3. Flexible Attendance in Skills for Work Level 1

- 11.3.1. For participants on Skills for Work Level 1, Suppliers will be allowed flexibility around the 30 hour requirement in the early stages of the programme as set out in sections 11.3.2 to 11.3.3 below.
- 11.3.2. For the initial assessment period, up to a maximum of 12 weeks Suppliers must ensure that a participant attends a minimum of 21 hours per week directed training.
- 11.3.3. Following the initial assessment period Suppliers must ensure that a participant attends a minimum of 21 hours per week, of which a minimum of 14 hours should be in directed training and the remaining time should be in work placement. Suppliers must ensure that participants build up to a minimum of 30 hours attendance per week as soon as possible but by the end of week 26 of the provision at the latest.
- 11.3.4. From week 26, Suppliers must ensure that participants are in attendance in line with Section 11.1.

11.4. Skills for Work Levels 2 and 3

- 11.4.1. There are no flexible attendance arrangements permitted on these strands other than in exceptional circumstances as set out in Section 11, paragraph 11.1.4.

11.5. Authorised Absence

11.5.1. Hours in which a participant is absent for the reasons set out in this section may be disregarded when assessing participant attendance in line with 11.1.

11.5.2. Suppliers must authorise absence requests, without deductions from EMA, for the following reasons and associated time periods:

- to attend interviews for employment or Further Education – duration of interview plus travel time;
- to attend interviews with the Department for the Economy/Social Security Agency/Jobs and Benefits Office/Careers Office – duration of interview plus travel time;
- to take written examinations or external competitive assessments related to the professional and technical qualifications being pursued – duration of examination/assessment plus travel time;
- to answer a summons to a court of law – for attendance at court plus travel time;
- for domestic emergencies including immediate family bereavements - maximum 5 days;
- to attend annual training courses organised by Army/Naval/Air Force Cadets (not including Territorial Army - see Section 11.8.2) up to a maximum of two weeks in any training year.
- to attend or partake in a national or international sporting events, either individually or as part of a team, for a period from date of departure for the

event to date of return from the event, up to a maximum of ten days in any training year.

- to attend hospital/doctor/dental appointments – duration of treatment plus travel time. Please note this is only in emergencies or where appointments 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 *Training for Success* – duration plus travel time.

11.5.3. Suppliers should retain evidence of all appointments for inspection by Departmental officials.

11.6. Unauthorised Absence

- 11.6.1. If a participant is absent without permission for more than five consecutive training days, the Supplier must treat them as having left *Training for Success 2013*. On day five, the participant must be registered as having left the programme.
- 11.6.2. If a participant is absent without permission for any reason other than those outlined in Section 11.5, the participant must not receive EMA for the period of absence. Suppliers should deduct one fifth of the normal weekly allowance for each full day of unauthorised absence. Deductions for absences of less than one day are at the discretion of Suppliers.

11.7. Absence due to illness

- 11.7.1. Where a participant is absent due to illness, Suppliers must require participants to report the reason for absence to the Supplier, on the first morning of illness, indicating the expected duration of the absence.

Acute absence due to illness

- 11.7.2. Suppliers must require a doctor's certificate if a participant is absent due to illness for more than 7 consecutive days, including holidays and weekends. Shorter absences must be covered by a Self-Certification form.
- 11.7.3. 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; for this purpose, a year is defined as 12 months from the date of registration on the programme.

- 11.7.4. Suppliers must not pay EMA for more than 15 days absence due to illness in any year. The Supplier must consider the effect of excessive absences on the training objective and invoke disciplinary procedures where necessary, (See Section 12).
- 11.7.5. Absences due to a pregnancy-related illness, or illness related to a participant's disability evidenced by the participant's GP, must be disregarded when aggregating a participant's sick record.
- 11.7.6. Suspected abuse of self-certification arrangements must be investigated by the Supplier and disciplinary procedures must be applied where appropriate. Evidence must be held for inspection by Departmental officials.

Prolonged Absence due to illness

- 11.7.7. Where a participant has been absent due to illness for more than 15 consecutive working days, the participant must be withdrawn from *Training for Success*.
- 11.7.8. Where such an absence is due to a pregnancy-related illness, or illness related to a participant's disability evidenced by the participant's GP, Suppliers must withdraw such a participant from training at the end of 30 consecutive working days of 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 *Training for Success*.

11.8. Interrupted Training

If a participant's training is interrupted due to pregnancy, custodial sentence, care order or any sudden unforeseen event (excluding sickness and accidents), the Supplier must cease to claim the training fee and EMA contribution and must cease payment of EMA to the participant and the participant must be removed from the programme. This is in order to protect that participant's future entitlement to training weeks as set out in paragraph 3.1.5.

- 11.8.1. In these circumstances a participant should be encouraged to re-enter *Training for Success 2013* following the enforced interruption, in order to receive the balance of training.
- 11.8.2. Participants who are members of the Territorial Army and are participating in annual camp/training exercises, should be removed from programme for the duration of camp/training exercise and permitted to return to training after participation in annual camp/training exercises.
- 11.8.3. If a participant reaches the age of 18 during a period of 'interrupted training' as set out in paragraph 0, they may re-enter *Training for Success 2013s* to receive the balance of training.

11.9. Leave Entitlement

- 11.9.1. Suppliers must permit participants to take 25 days paid leave during a year of training, accrued at a rate of two days leave for each month in *Training for Success 2013* plus one additional day accrued after the first month. In addition a participant is entitled to a minimum of 12 days paid bank and public holidays.
- 11.9.2. Leave arrangements must be agreed in advance, in accordance with the needs of the training provision and the normal practice of the Supplier.
- 11.9.3. Suppliers must normally only permit participants to take paid leave days at a time that coincides with a Supplier's own holiday closure arrangements.
- 11.9.4. Where a participant, prior to a holiday period brought about by the closure of the Supplier, has not accrued sufficient leave to cover the full period of closure, the Supplier must permit them to anticipate up to a maximum of 10 days paid leave. Where the Supplier is closed for a period that exceeds the participant's accrued leave plus the maximum allowable anticipated leave, no further payment of EMA should be made.

- 11.9.5. Suppliers must require a participant who wishes to take leave which does not coincide with a Supplier's own holiday closure arrangements to seek approval. Suppliers may grant such permission at their discretion however any such leave must be unpaid, unless the participant has accrued EMA in respect of leave; participants in these circumstances must not be allowed to anticipate paid leave.
- 11.9.6. Where such leave periods are unpaid and it is known from the outset that the period of absence will exceed five working days, Suppliers must inform the Department of the absence in advance. 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.

11.10. Payment of EMA in advance of Leave

- 11.10.1. Suppliers may, at their discretion, pay a participant EMA in advance of a leave period provided that:
- the participant enters *Training for Success* before the start of the holiday period; and
 - the participant intends to return to training at the end of the holiday period.
- 11.10.2. Suppliers choosing to pay EMA in advance should only pay EMA for those days leave which have already been accrued by the participant prior to the start of the leave period.
- 11.10.3. 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 *Training for Success* before earning sufficient days to cover the payment.

11.10.4. However, should the participant subsequently return to *Training for Success 2013*, either with the original Supplier or a new Supplier, no further payments must be made in respect of holiday pay until the participant has served sufficient time in *Training for Success 2013* to cover the original advance.

11.11. EMA in lieu of Leave.

11.11.1. A participant who leaves *Training for Success* before taking all accrued leave is not entitled to EMA in lieu.

12. DISCIPLINARY POLICY

12.1. Disciplinary Procedures

12.1.1. Suppliers must ensure that each participant has access to clear written procedures on grievance and disciplinary matters, and is informed of those procedures at the induction. Suppliers must ensure that their disciplinary procedures comply with the instructions set out in this section. This procedure must include the following terms concerning Serious and Gross Misconduct and define those terms as follows:

- Serious Misconduct – conduct which initially requires disciplinary action other than suspension/dismissal (although if further misconduct takes place, it may lead to suspension/dismissal). This can include persistent lateness, unauthorised absence as well as acute absence due to illness and failure to meet known work standards. In exceptional circumstances where a supplier has a query or doubt about suspending a young person, the Supplier should contact Training Programmes Branch in writing for advice **before** they act.
- Gross Misconduct - an act of misconduct which permits a training provider to suspend a trainee on the first occurrence of the offence is viewed as gross misconduct. In general, this includes offences such as theft, physical violence, very serious breaches of health and safety rules, etc.

12.1.2. In disciplinary matters, a participant must not be treated less favourably than an employee of the Supplier. Short-term suspension without EMA may be invoked as part of the disciplinary procedure (for example, to facilitate an investigation of disciplinary breach), when the procedure has reached the final written warning stage. It may be used only in exceptional circumstances. Suspension without EMA must not last for more than two days.

12.2. Representation at Disciplinary Hearing

- 12.2.1. Suppliers must allow a participant to be accompanied by a parent/guardian, fellow participant, or Trade Union representative during disciplinary interviews.
- 12.2.2. It is essential that a written record of all verbal and written warnings is retained in the participant's personal record for inspection by Departmental officials. Suppliers must ask participants to countersign each record of warning and record any refusal to do so. Specimen Disciplinary Letters are included in 15.11 Annex 11.
- 12.2.3. A participant's expected end 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.

12.3. Serious Misconduct

Cases of serious misconduct must be treated as follow:

- For a First Occurrence, Suppliers must issue a verbal warning.
(see 15.11.1 Annex 11a);
- For a Second Occurrence, Suppliers must issue a written warning.
(see 15.11.2 Annex 11b);
- For a Third Occurrence, Suppliers must issue a final written warning.
(see 15.11.3 Annex 11c);
- For a Fourth Occurrence, Suppliers must suspend the participant for a period of **two** ~~eight~~ weeks. (see 15.11.4 Annex 11d).

In certain cases Suppliers may enact all of the above steps for the first occurrence if, in the opinion of the Supplier, the occurrence is of sufficiently serious nature to merit immediate suspension.

- 12.3.1. Suppliers must inform the participant in writing of any suspension, the reasons and the restrictions that govern re-entry to the programme. A participant may resume training following a period of suspension, except where paragraph 12.4.3 below applies, even if over 18 provided he/she returns to training in the week following the expiry of the suspension.
- 12.3.2. A participant will only be allowed to have a total of three separate incidents of serious misconduct (except where 12.4.3 applies) which lead to suspension and, should a further case arise which would otherwise lead to suspension, they will be dismissed from the programme and not permitted to re-enter *Training for Success 2013*.

12.4. Absence as Serious Misconduct

- 12.4.1. Suppliers must treat unauthorised and/or acute absence due to illness as serious misconduct once the participant has been absent for a total of 10 days in three consecutive claim periods.
- 12.4.2. Where the participant has missed between 10 and 14 days inclusive in three consecutive claim periods, Suppliers must issue the participant with a written-warning. Where a participant misses 15 or more days in three consecutive claim periods, the participant must be suspended for a period of **2** weeks without Educational Maintenance Allowance.
- 12.4.3. If a participant who has been suspended due to frequent unauthorised absence and acute absence due to illness subsequently accumulates 10 days further such absence in the 12 months from the date of return following suspension, Suppliers must dismiss the participant from the programme.

12.5. Gross Misconduct

12.5.1. Cases of Gross misconduct must be treated as follows;

- For a First Occurrence, Suppliers must suspend the participant for **4** weeks without Educational Maintenance Allowance.

12.5.2. Suppliers must not allow a participant who is suspended from training in cases of Gross Misconduct to re-apply for admission until a period of thirteen weeks has elapsed since the last day of training.

12.5.3. Suppliers must seek written permission from Training Programmes Branch prior to allowing an eligible participant who has been suspended for Gross Misconduct to rejoin *Training for Success 2013*.

12.5.4. Should permission be granted, Suppliers must require the participant to sign an agreement to observe the code of conduct and attendance stipulated by the Supplier.

12.5.5. A participant will only be allowed to have a total of two separate incident of Gross Misconduct and, should a further case arise, they will be dismissed from the programme and not permitted to re-enter *Training for Success 2013*.

12.5.6. Suppliers must inform the participant in writing of any suspension, the reasons and the restrictions that govern re-entry to the programme.

12.5.7. Suppliers must inform the Department immediately when a disciplinary matter results in the suspension or dismissal of a participant. Participants should be notified of suspension or dismissal in writing. Suppliers should note that the Department will grant a right of appeal to participants suspended or dismissed for disciplinary reasons.

- 12.5.8. Suppliers must immediately inform the Social Security Agency of participant's suspension if he/she is receiving Income Support. Suppliers should retain a record of this notification for inspection.

12.6. Participant's Right of Appeal

- 12.6.1. In all cases of suspension/dismissal Suppliers must advise participants' of their right to appeal against any suspension or dismissal.
- 12.6.2. Written appeals setting out the grounds for appeal should be forwarded to the Head of Training Programmes Branch (see Useful Contacts 15.5 Annex 5). The written appeal must be received in Training Programmes Branch within **7** days of issue of the suspension/dismissal letter.
- 12.6.3. On receipt of the written appeal Training Programmes Branch will arrange within 10 working days (where possible), a three-person panel of independent Careers Advisers and an official from Training Programmes Branch. This panel will meet with the participant and their representative(s) in a neutral venue to consider the appeal.
- 12.6.4. The Department will set out in writing the result of any appeal which will be binding on all parties.

13. FUNDING PAYABLE TO SUPPLIERS

13.1. General Principles Governing Claims

- 13.1.1. Suppliers must only claim funding in accordance with this document or when specific approval has been received in advance from the Department. The funding table at 15.7 Annex 7 outlines the amount of funding available for the claims outlined in this Section.
- 13.1.2. Claims must be received in Commercial Services Branch (*Payment Processing*), formerly Supplier Services Branch, within 10 working days from the end of each claim period as set out at 15.6 Annex 6.
- 13.1.3. Suppliers must retain specific and appropriate evidence to support all claims. Suppliers must carry out sufficient checks to ensure all funding is claimed at the appropriate time. The Department will not be responsible for Suppliers' failure to claim funding within the permitted time period.
- 13.1.4. The Department will recover any funding deemed to be incorrectly claimed.

13.2. Funding for Completion of a Personal Training Plan

- 13.2.1. Following completion of the Hard Copy PTP (as referenced in Section 6.4). Suppliers may claim funding by entering certain information from the Hard Copy PTP into the Electronic PTP in TMS.

Suppliers will automatically receive payment in respect of a completed electronic PTP provided the above details are completed in TMS within 12 weeks of the participant's start date. Electronic PTPs submitted to TMS outside the 12 week

deadline will be deemed valid for programme delivery purposes and will be counted for statistical purposes but will not be eligible for any payment.

13.2.2. Suppliers should ensure that the electronic PTP in TMS contains:

Programme Title (default to TfS 2013)

Strand being pursued (drop down choices)

Registration Date with Awarding Body

Participant Unique Learner Number (ULN)

All Qualifications Objectives being pursued with the following details as mandatory entries:

a) Qualification Name(s) (15 lines available)

The first 3 Qualification names entered under column (a) are mandatory fields and cover Personal and Social Development, Employability and Skills and Professional and Technical Training qualifications. ORF will be paid in respect of these 3 qualifications.

b) Qualification Ref No (s)

The reference number for the qualification as specified in the RRQ.

c) Qualification Level (1, 2 or 3)

The level of the qualification as specified in the RRQ.

d) Qualification Size (Award, Certificate or Diploma drop down choices)

The size of the qualification as specified in the RRQ.

e) The Name of the Awarding Body for the qualification.

f) The date of registration with the Awarding Body.

g) Credit Value (numerical format)

The credit value of the qualification as specified in the RRQ. The total number of Credits being undertaken by each participant must be equal to or greater than 72. (except where paragraph 5.7.3 applies).

h) Credits Already Completed (if applicable) (numerical format)

If a participant has already achieved credits towards the targeted qualification elsewhere these should be entered. If no previous credits have been achieved then an entry of should be made.

i) Adjusted Credit Value (or re-entry of original Credit Value as at (g)). The Adjusted Credit Value entry at column (i) should be (g) minus (h).

j) Indicate whether Targeted Qualification has been achieved, (Y/N).

k) Units Undertaken (numerical format)

The credit value of the units for each qualification should be entered in numerical format at column (k). The sum of the credit values entered under column (k) must be equal to or greater than 72.

l) Insert the date of qualification achievement.

m) This date should match the leaving date and be recorded against all qualifications not achieved at the point of leaving.

13.2.3. In addition to the above, Suppliers should also ensure:

- Essential Skills assessment (or exemption) is entered; and
- Disability/additional support details if applicable are entered.

13.3. Weekly Training Fee

- 13.3.1. Suppliers may claim a weekly training fee for each week of participation by a participant who is following a PTP approved by the Department.
- 13.3.2. Where the attendance of any participant is not in accordance with the *Training for Success* 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.
- 13.3.3. Suppliers may claim an enhanced weekly training fee for participants with a disability. Suppliers must seek the Department's approval where they wish to claim this fee. The Department will normally approve applications where prior evidence of a disability exists. Suppliers should seek such approval through TMS in line with paragraph 14.9.5. If no prior evidence exists but, in the opinion of the Supplier, the participant has a disability as defined by the Disability Discrimination Act 1995, the Supplier should seek to gather evidence using Form TfS17, 16.14. The possibility of a referral to the Department's Occupational Psychology Service may also be considered after this.
- 13.3.4. Suppliers may claim additional funding for participants on *Training for Success* who start the programme on Skills for your Life or Skills for Work Level 1 at a rate of £3 per participant per week. Funding for additional learning support will be provided based on the number of Skills for Your Life and Skills for Work Level 1 participants that are in attendance each week.

If a Skills for Life participant has been approved for an extension in line with section 7.10, Suppliers may claim funding equivalent to the weekly training fee for the duration of the extension. Suppliers will receive 50% of the weekly training fee when a valid claim is made. The remainder of the claim will be payable upon

completion of the level 2 professional and technical qualification, as evidenced by the certificate from the Awarding Organisation.

13.4. Output Related Funding

13.4.1. Suppliers may claim output related funding in respect of qualification and progression outcomes for participants on *Training for Success 2013*. ORF related to qualification attainment is only payable in respect of the targeted qualification outcomes set out at Section 3.3 and must be claimed no later than 7 claim periods beyond the claim period in which the participant leaves *Training for Success 2013* (except where paragraph 14.10.3 applies).

Qualification outcomes

13.4.2. Suppliers will receive a maximum of £1,250 ORF based on achievement of qualifications, as follows:

- a maximum of £600 of the total ORF will be payable in respect of Essential Skills. This is limited to one payment of £200 per young person in respect of each of the Essential Skills qualifications: Literacy/Communication, Numeracy/Application of Number, and ICT, provided the level achieved is at least one level above the level at which the participant was initially assessed on entry to the programme or at level 2;
- a maximum of £200 will be paid in respect of the targeted employability qualification which is specified on the PTP;
- a maximum of £200 will be paid in respect of the targeted personal and social development qualification which is specified on the PTP; and
- a maximum of £250 will be paid in respect of the targeted professional and technical qualification which is specified on the PTP.

- 13.4.3. Where a Supplier has used a combined qualification to cover the Personal and Social Development and Employability requirements of the programme, only one payment of a maximum of £200 ORF will be made.
- 13.4.4. For participants who enter the programme on Skills for Work level 1, ORF is only payable for achievement of targeted qualifications at Level 1 or above.
- 13.4.5. For participants who enter the programme on Skills for Work level 2 ORF is only payable for achievement of targeted qualifications at Level 2 or above.
- 13.4.6. Suppliers will be permitted to alter the targeted qualification to reflect participant's goals and progress provided they are still following a course of study which meets the requirements of the programme however it will not be permissible to alter the level of qualification being targeted except where the Participant is capable of achieving a level higher than indicated on the original PTP.
- 13.4.7. Where a participant transfers from one Supplier to another and successfully completes an approved qualification for which ORF is payable, 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 the Department will act as an arbitrator.
- 13.4.8. Where a participant entering *Training for Success 2013* had already achieved some or all credits necessary for the award of a full qualification, the amount of ORF payable will be reduced in proportion to the percentage of the qualification already achieved. TMS now provides a facility to reduce the Output Related (ORF) funding in segments of 5% based on the % of credits already undertaken. For example a client has already undertaken 5 credits associated with Personal and Social Development qualification before entering the programme. The total number of credits associated with the qualification is 10. In these circumstances ORF should be reduced by 50%.

Progression outcomes

- 13.4.9. Suppliers may claim ORF when a participant progresses to the *ApprenticeshipsNI* programme, further education, or sustained employment and remains there for 13 continuous weeks.
- 13.4.10. Suppliers may claim £500 if the participant was on *Training for Success 2013* for between 36 weeks and 60 weeks and progresses in line with Section 13.4.9.
- 13.4.11. Suppliers may claim £250 if the participant was on *Training for Success 2013* for more than 60 weeks.
- 13.4.12. Suppliers must claim ORF in respect of progression outcomes within 7 claim periods after the claim period in which the participant leaves *Training for Success 2013*.

Participant Bonus Payments

- 13.4.13. Amounts paid to participants as Bonus payments (as set out in paragraph 10.2.5) must be paid by Suppliers and claimed back from the Department. Evidence of payments to participants must be retained for inspection.

13.5. Funding Related to Travel Costs

- 13.5.1. To assist Suppliers with cost of paying travel allowance to participants as set out in Section 10.3, Suppliers may claim a flat rate per participant irrespective of whether or not that individual has incurred travel expense. The Department will make no further contribution to travel expenses unless travel by taxi is involved as set out in Section 10, paragraph 10.3.3.
- 13.5.2. Suppliers may claim an amount based on the contract management areas in which each participant attends training. Details of the amounts claimable are provided at 15.9 Annex 9. The Supplier should enter the appropriate travel rate into TMS under the “Expenses” facility.
- 13.5.3. The flat rate payment for travel will automatically cease where relevant data is entered in to TMS in respect of:
- completion of training; or
 - progression from Training for Success to the ApprenticeshipsNI programme.

13.6. Funding Related to travel by Taxi

- 13.6.1. Where a Supplier is making an application under Section 10.3.3, they must seek approval to claim an amount equal to the total cost of the travel. For successful applications, TMS will automatically deduct the Department’s Contribution as set out in Section 13.5.2 and the participant’s contribution of £3 before making any payments.

- 13.6.2. The Department will reimburse valid claims made through TMS for costs which have received approval. The Department's approval must be received before any such amount is claimed through TMS. Details of the TMS Elements of the claims process are set out at Section 0.
- 13.6.3. Suppliers must include supporting documentation for the need for a taxi, including any evidence related to the availability of public transport, when making such an application. 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. Quotations must be inclusive of VAT and administration charges. Suppliers must ensure that quotations and receipts are retained and kept for audit purposes.
- 13.6.4. The Department will consider applications made under Section 10.3.3 along with the supporting documentation and enter the decision on CMS.
- 13.6.5. The Department will record the decision on form TfS13 (Revised May 2016) which will then be returned to the Supplier. The Supplier must retain the approved form and supporting documentation for inspection purposes. There will be no separate decision letter issued by the Department.
- 13.6.6. Incomplete or inaccurate forms submitted will be returned to the Supplier for correction without approval.
- 13.6.7. Suppliers must ensure that payments for taxis are made directly to the taxi company and not the participant. The taxi company must provide the Supplier with invoices and the accuracy of the invoice detail must be checked against the Supplier's records before submitting claims to the Department.
- 13.6.8. If a participant covered by this section is no longer incurring travel costs for taxi journeys, the Supplier must inform the Department immediately by email to trainingforsuccess@economy-ni.gov.uk.

13.7. Funding Related to Travel to a Suppliers training partners

- 13.7.1. Suppliers may not claim additional costs for travel to a training partner resulting from the Suppliers sub-contracting arrangements. Where a participant has been approved for travel by taxi, the Department will reimburse the cost of such travel provided the journey is made directly to the training partner and that travel is cheaper than the journey to the Supplier's premises.

13.8. Funding for Residentials

- 13.8.1. Suppliers may claim actual costs up to a maximum of £100 per participant for residentials which have been approved in advance for the Department.

13.9. Funding for Access NI Enhanced Disclosure Checks

- 13.9.1. Suppliers may claim back the cost of any Enhanced Disclosure fee for checks carried out on participants on placement in a regulated position. Suppliers should refer to TMS Memo 06/08 for information on how to claim the disclosure fee. Proof of payment must be retained by the Supplier for DfE audit purposes.

13.10. Other Funding

- 13.10.1. Suppliers may supplement Departmental 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. Suppliers must not supplement funding by charging employers a fee for a participant on placement.

14. ADMINISTRATION PROCEDURES

14.1. Information Systems

- 14.1.1. The Department, in conjunction with Fujitsu Services, has developed a software package Trainee Management System (TMS) to assist Suppliers in the administration arrangements for *Training for Success 2013*. 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. Suppliers should consult 15.18 Annex 18 for the required IT specification to operate TMS.

14.2. Start Notification

- 14.2.1. 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 *Training for Success 2013*.

14.3. Equal Opportunities Monitoring

- 14.3.1. 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.

- 14.3.2. Information relevant to equal opportunities should be entered into TMS at the point of confirmed registration of a young person on *Training for Success 2013*. 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 TMS. It should be noted that marital status is a mandatory field in CMS and this data should be available at the point of confirmed registration of a participant on *Training for Success 2013*.

Health Conditions and Disability

- 14.3.3. In relation to Equal Opportunities monitoring within *Training for Success 2013*, some of the processes are automated. When a young person enters components of *Training for Success 2013*, the Disability or Special Needs category of a trainee may be already indicated by the Careers Adviser in CMS. A list of Disability/ Special Needs codes is available at 15.14 Annex 14.
- 14.3.4. Suppliers should note that Codes will appear on a Training Credit if entered in CMS.

14.4. Notifications of Leavers

- 14.4.1. Leaving processes under CMS are automated and information is transmitted from TMS to update CMS.
- 14.4.2. Suppliers must ensure all avenues are explored to determine the destination of leavers before using the "Destination Not Known" code.
- 14.4.3. 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 *Training for Success 2013*.

14.5. Funding Claims – General Requirements

- 14.5.1. *Training for Success 2013* claims must be submitted as per the claim calendar, (see 15.6 Annex 6) 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 Commercial Services Branch (*Payment Processing*) 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 Commercial Services Branch (*Payment Processing*) until both the electronic copy and signed hard copy have been received.
- 14.5.2. 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', the updated version of which was issued to suppliers by the TMS Development Unit on 17 October 2011. This memo is available to new Suppliers on request from the TMS Development Unit, based at Information Technology Branch, Room 84, Department for the Economy, Netherleigh, Massey Avenue, Belfast BT4 2JP, telephone 028 9052 9811.
- 14.5.3. 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.

14.6. Bank Details and Authorised Signatories

- 14.6.1. Suppliers must notify Commercial Services Branch (*Payment Processing*) as soon as possible via form TfS 6, 16.5, of details of the Bank Account to which payments are to be made and the names of those authorised to sign *Training for Success 2013* forms on behalf of the Supplier.

- 14.6.2. Any subsequent changes to these details must be notified immediately to Commercial Services Branch (Payment Processing) via a newly completed form TfS 6, 16.5, 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.

14.7. EMA and Recording Attendance

- 14.7.1. The EMA in respect of a *Training for Success 2013* 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.
- 14.7.2. 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). In addition, Suppliers must retain copies of attendance records for inspection purposes. (Forms TfS 7A and TfS 7B, 16.6 & 16.7)
- 14.7.3. On entering times of reduced attendance, the Supplier will be prompted to enter details regarding the request. Suppliers must use the following headings: "Reason/Evidence" and "Timescale for reduction in hours". This request will be automatically generated, once the reduced hours are entered into the TMS attendance facility.

14.8. Lodging Allowance Claim

- 14.8.1. In certain circumstances, a non-employed trainee may be eligible for Lodging Allowance. Where this is the case, form TfS16 must be completed and forwarded to Training Programmes Branch.

14.9. Application for Childcare Payments

- 14.9.1. Suppliers must issue an application for childcare payments (form TfS 4,16.4) to a *Training for Success2013* 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 who care is essential.
- 14.9.2. Sections A, B, C and D of the form should be completed by the participant, the childminder, and the Supplier respectively and section E by Training Programmes Branch where the claim exceeds £50 per week.

Disability Support Arrangements

- 14.9.3. Where a participant's PTP specifies that Disability Support is required, the Supplier will arrange for that support to be provided by the most appropriate DSS as listed in 15.8 Annex 8, if this support has not already been arranged.
- 14.9.4. Form TfS 3 (i) 16.2 will be completed by the Supplier providing details of Disability Support required. This form will be passed to the Disability Support Supplier who will arrange to deliver the required support. The Department has separate arrangements in place with DSSs and will arrange payment for services rendered.
- 14.9.5. Careers staff must ensure that all information pertaining to a client's disability is input into the "Details" section of CMS. This will aid consideration of funding to Suppliers for those participants requiring support whilst in training due to their disability. Additional funding for those with a disability should be claimed via TMS / CMS disability funding approval processes. It is stressed that the

request for disability funding must be approved in CMS before any additional payment can be generated. Once approval is recommended in CMS by the Careers Service, a record is held against the client details on CMS as to when the recommendation was made and by whom. TMS will also be updated with the appropriate approval details.

14.10. Output Related Funding for Qualification Outcomes

- 14.10.1. Suppliers will receive ORF in accordance with the *Training for Success 2013* funding table (See 15.7 Annex 7) in respect of a *Training for Success 2013* participant who achieves a full qualification outcome in each curriculum area subject to the conditions below being satisfied.
- 14.10.2. A request for prior approval to claim ORF for a qualification outcome must be submitted to Services Branch CSB (*Payment Processing*), formerly *Supplier Services Branch*, via TMS to CMS as soon as possible after the achievement, but no later than 7 claim periods (except where paragraph 14.10.3 applies) beyond the claim period in which the participant leaves *Training for Success 2013*. Certified evidence of achievement (i.e. a copy of a Certificate from an Awarding Organisation) must be dispatched to CSB 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 CSB until both the electronic version and hard copy evidence of achievement are received. Staff in CSB 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.
- 14.10.3. However, where a participant has been granted an extension to training under Section 7.10, Training Suppliers must submit certified evidence of achievement within 3 claim periods following the claim period in which the request for training extension was submitted to Training Programmes Branch.
- 14.10.4. An additional one claim period will be allowed for receipt of evidence providing this is accompanied by a letter from the Awarding Body advising of acceptable

reasons for a delay. If certified evidence is not received within the required timescale all funding paid from the date of progression will be recovered by Commercial Services Branch (*Payment Processing*) from the date of progression.

- 14.10.5. If an Essential Skills qualification is being claimed, 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 *Training for Success 2013* component). 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 £200 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, or at level 2;
- 14.10.6. 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 CSB staff. When the Essential Skill output related funding is claimed it is also essential to update the achieved level under the "Courses" tab in TMS.
- 14.10.7. 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.

14.11. Output Related Funding for Progression Outcomes

14.11.1. ORF can be claimed in respect of a *Training for Success 2013* participant who completes 36 weeks of training and who, immediately on leaving *Training for Success 2013*, is placed in employment, progresses to further education, or progresses to *ApprenticeshipsNI*, either of which is sustained for a continuous period of at least 13 weeks immediately following the date on which the participant left the provision. In such cases, the Supplier must submit:

- written confirmation from the employer via use of form TfS 9(Rev 2015,16.8), or letter-headed paper from the provider of further education, that employment /further education as appropriate has lasted for a minimum period of 13 continuous weeks immediately following the date on which the participant left *Training for Success 2013*; or
- in the case of self-employment, a letter from a bank or accountant on letter-headed paper confirming that the participant has been in business for a minimum period of 13 weeks immediately following the date the participant left *Training for Success 2013*.

14.11.2. ORF for outcomes in respect of employment or progression to *ApprenticeshipsNI* or Further Education, will only be paid once in respect of any participant, and must be claimed within 7 claim periods following the claim period in which the participant left the programme.

Suppliers must request prior approval to claim ORF outcomes in respect of progression to employment/self-employment, Further Education via TMS to CMS, on the same day as certified evidence is posted to CSB (except for progression to *ApprenticeshipsNI*, where certified evidence of progression is not required). A request for prior approval to claim is not regarded as being received until both the electronic version and the hard copy evidence of progression are received in CSB. Staff in CSB 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.

14.12. Participant Incentive Bonus

14.12.1. A Supplier must pay a participant a bonus of:

- £40 upon completion of each of the time stages as detailed in the funding table at 15.7 Annex 7.
- £80 upon completion of all the time stages as detailed in the funding table at 15.7 Annex 7.

14.12.2. Bonuses must be paid to participants on a timely basis and records must be retained for inspection purposes. Funding in respect of bonus payments will be generated via a linkage to completed weeks on programme.

14.13. Residentials

14.13.1. Where it is considered appropriate for a participant to participate in a residential and the necessary approval has been obtained from TPB, the Supplier can claim actual costs up to a maximum of £100. Only one residential per participant per life of the programme will be eligible for the above funding.

14.13.2. Suppliers must use the 'participant discretionary' payment facility (ad hoc) to claim these expenses via TMS.

14.14. Progression from Training for Success 2013 to ApprenticeshipsNI

14.14.1. To progress from *Training for Success 2013* to ApprenticeshipsNI the participant must satisfy the eligibility criteria for level 2 / level 3 apprenticeships (see *ApprenticeshipsNI* guidelines, section 2). Suppliers must terminate the participant

from *Training for Success 2013* on TMS, using the appropriate termination code and then update TMS in line with the *ApprenticeshipsNI* operational guidelines.

14.15. Movement within Training for Success 2013 Strands

- 14.15.1. Any movement to a different strand under *Training for Success 2013* after the qualifications associated with that strand have been achieved must be amended by creating a new Progression PTP on TMS showing the new strand and the date of progression.
- 14.15.2. Where it is discovered that the qualifications being pursued in a particular strand are not suitable for the participant, or if the original strand itself is unsuitable, a Revised PTP should be completed. The participant should not be terminated in TMS in these cases. However, in cases of progression to Skills for Work Level 3 the participant should be terminated in TMS. A Training Credit will be required in these circumstances showing a Progression start code.

14.16. Enforced Interruption to Training

- 14.16.1. A participant whose period of training is interrupted due to pregnancy, custodial sentence, care order or any sudden unforeseen event which prevents participation in training (excluding sickness and accidents), 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.
- 14.16.2. 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 TfS 10A, 16.9, 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.

- 14.16.3. When the participant resumes training a Rejoining start code must be completed immediately and forwarded via TMS/CMS processes to the local Jobcentre / Jobs and Benefits Office / Careers Office. The start code 'Rejoining' must be used. Form TfS 10B, 16.10, must also be completed and sent to the local JobCentre / Jobs and Benefits Office / Careers Office.

14.17. Recording Attendance

Records Not Available

- 14.17.1. In connection with recording attendance 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.*(Forms TfS 7A / 7B).

Absence Recording

- 14.17.2. The TMS termination code "Enforced Interruption" to training must **not** be used in cases of 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.

14.18. Returning to Training after Absence due to illness

- 14.18.1. 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 form TfS 15,16.12 and forward to the mailbox of their local Careers Office, prior to re-entry, 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”.

14.18.2. For example; a participant who completed 56 weeks of training in a 104 week programme 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 45 weeks of training [i.e. 104 weeks less 59 (56 weeks + 3 weeks)].

14.19. PTP Update on Leaving Programme

14.19.1. To enable accurate target measurement of the Programme, Suppliers must complete the following data fields in the PTP on completion of training. It is stressed Suppliers will not be able to enter the end date of the client in TMS until these data entries have been completed;

- All Targeted Qualifications Achieved + Essential Skills or Exemption (Y / N Number / Level(s) Achieved L1, L2 or L 3;
- Size Achieved (Award Certificate or Diploma);
- Total Credits Achieved / Total Credits Not Achieved. If all credits have been achieved an entry of 0 at Total Credits Not Achieved is appropriate;
- Achieved Date or Not Achieved Date;
- If the participant achieved their qualification the date of achievement is the date confirmed by the Awarding Body. If the participant did not achieve the Supplier should enter the date the client left the programme in the column headed “Not Achieved Date.

Funding Related to Travel by Taxis in excess of £53 per week

- 14.19.2. Suppliers must add details of the requested amount and start date to TMS when submitting TfS13 (Revised May 2016) to Training Programmes Branch. When making a claim through TMS for travel by taxi, Suppliers must claim the total charge less the district rate and client contribution.
- 14.19.3. When errors or incomplete information have been identified the Supplier should terminate the travel claim and re-submit a new approval request to Training Programmes Branch and a corresponding new claim request made on TMS.
- 14.19.4. If the individual's circumstances change, for example, if the participant's travel details change then Suppliers must terminate the existing travel claim in TMS and input a new claim showing the revised travel amount and immediately advise Training Programmes Branch by email to:
trainingforsuccess@economy-ni.gov.uk

14.20. Recording and Reporting of Accidents

- 14.20.1. Suppliers are responsible for investigating accidents whether they occur on their own premises or on those of Training Partners.
- 14.20.2. "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;
www.hseni.gov.uk/contact-us and click on the Report Incident tab.

14.20.3. 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 (tab);

14.21. Financial Control and Accountability

14.21.1. 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's performance indicators. Suppliers must be able to demonstrate that they have the financial resources to fulfil their obligations under the Agreement they operate effective financial systems and controls; and they maintain up-to-date accurate financial records.

14.21.2. Departmental officials will monitor *Training for Success 2013* and will visit the Supplier or training partner at frequent intervals. Officials will wish to examine a variety of records, financial and otherwise, and will carry out certain test checks in order to form an opinion on the overall quality of administration of the programme. These inspection visits will also include interviews with selected participants and, where appropriate, host employers. The Department may also 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.

14.22. Role of Commercial Services Branch (*Payment Processing*)

14.22.1. In the context of *Training for Success 2013*, Commercial Services Branch (*Payment Processing*) (CSB), 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, employment, and progression outcomes.

14.22.2. TMS Development Unit, (based at Information Technology Branch, Room 84, Department for the Economy, Netherleigh, Massey Avenue, Belfast BT4 2JP, telephone 028 9052 9811) 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 *Training for Success 2013*. These reports contribute to key statistical data published in relation to the provision.

14.22.3. In addition, CSB has responsibility for the related policy and implementation of Educational Maintenance Allowance for unwaged participants in the components of *Training for Success 2013*.

14.23. Role of Commercial Services Branch (*Contract Compliance*)

14.23.1. Commercial Services Branch (*Contract Compliance*) is responsible for contract management, the monitoring of Suppliers' performance in relation to compliance with procedures, and their adherence to the performance standards set out in the appropriate training contracts. It will work with the Inspectorate regarding the monitoring of the quality of Suppliers' provision. It will carry out regular, consistent and robust reviews of Suppliers' performance to ensure consistently high standards and outcomes and value for money.

14.24. Role of Quality Improvement Team

- 14.24.1. The Department for the Economy's Quality Improvement Team (QIT) has responsibility for monitoring and reporting across a range of Departmental programmes including *Training for Success 2013*, ApprenticeshipsNI as well as other Departmental training and European Social Funded programmes.
- 14.24.2. In *Training for Success 2013*, the Quality Improvement Team works with the Education Training Inspectorate (ETI) to ensure that an inspection schedule for all contracted training suppliers is agreed annually and that the inspection activities meet the requirements of the Department.
- 14.24.3. QIT attends ETI post-inspection feedback sessions, where a full inspection or follow-up inspection has occurred. The team has responsibility for liaising as appropriate with the Inspectorate to ensure that all areas identified for improvement through inspection are acted upon in an appropriate timescale. Where inspection identifies that there are ongoing problems and that these have not been remedied after the standard cycle is complete, QIT will report this to Commercial Services Branch for contractual consideration.

14.25. Role of Careers Service

- 14.25.1. The Department for The Economy's Careers Service is an all-age guidance service that provides impartial careers information, advice, and guidance to people in education, training, employment and to the unemployed. This is delivered through a network of Careers Advisers who are based in JobCentres, Jobs and Benefits Offices and Careers Offices throughout the Province.
- 14.25.2. Careers Advisers will agree and review a Partnership Agreement (PA) with all *Training for Success 2013 Suppliers*. The PA agreement sets out the Careers Service contribution to the career programme which will contain details of the referral arrangements between the Supplier and Careers Service.

14.25.3. Within *Training for Success 2013*, the role of Careers Service will be to provide;

- Pre-entry guidance within education;
- A Careers Guidance Interview to participants who have not received Careers guidance intervention prior to registration on *Training for Success*; and
- Careers Information, Advice and Guidance that is appropriate to each participant's career guidance needs throughout their training period via self-referral, Supplier referral, or as identified by the Careers Adviser.

Contact your local Careers Adviser 0300 0200 7820 or visit our website www.nidirect.gov.uk/careers to find your nearest office.

14.26. Retention of Records

14.26.1. Adequate evidence in support of claims must be retained for inspection by the Department. Where appropriate, such evidence must include original 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.

14.27. Departmental Requests for Information

14.27.1. The Department will make regular requests for information to Suppliers in order to monitor the programme. Suppliers must keep the spreadsheet/form at Annex 19 up to date and submit it to the Department within seven days of request. The information contained in the spreadsheet should be current at the time of submission. Suppliers should note that they are required to provide information on work placements in *Training for Success 2013* as and when requested by the Department. This should be completed in the worksheet included at Annex 19. The Department may also request additional information on a regular basis. Suppliers must ensure that they have procedures in place in order to respond

to these requests within 7 working days. The information supplied in response to these requests must be accurate.

15. LIST OF ANNEXES

Annex 1	Personal Training Plan (PTP) ¹
Annex 2	TfS Induction Supplier Checklist
Annex 3	Personal Training Plan Supplier Checklist
Annex 4	Delivery Agreements. Completion of Feedback/Evaluation
Annex 5	Useful Contacts
Annex 6	Claims Calendar
Annex 7	Training for Success Funding Tables
Annex 8	Disability Support Suppliers
Annex 9	Travel Contributions
Annex 10	Childcare Payment Rates
Annex 11	Disciplinary Letters 11a Specimen Verbal Warning Letter 11b Specimen First Written Letter 11c Specimen Final Written Warning Letter 11d Specimen Suspension/Dismissal Letter
Annex 12	Participant Enrolment Form/Equality Monitoring Form
Annex 13	TOC/RRQ Mappings
Annex 14	Disability/Special Needs Codes
Annex 15	Participant Handbook
Annex 16	Guidelines on Residential Training
Annex 17	<i>Training for Success</i> Performance Indicators
Annex 18	IT Requirements
Annex 19	Information Requested by the Department

¹ Including Explanatory Notes

ANNEXES

15.1. Personal Training Plan Annex 1

PARTICIPANT DETAILS

Name	<input type="text"/>	Address	<input type="text"/>
Client Reference No ¹	<input type="text"/>		<input type="text"/>
DOB ²	<input type="text"/>	Postcode	<input type="text"/>
Gender	<input type="text"/>	Home Tel No	<input type="text"/>
Unique Learner No. ³	<input type="text"/>	Mobile Tel No	<input type="text"/>
Disability ⁴	Yes <input type="checkbox"/> No <input type="checkbox"/>	Contact Tel No	<input type="text"/>
Parent/Guardian	<input type="text"/>	E-mail Address	<input type="text"/>

STRAND DETAILS

Strand Name ⁵	<input type="text"/>	Strand 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 ⁶

Qualifications & Achievements

Qualifications/Awards	Awarding Organisation	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 ⁷

Essential Skills

Literacy	Reading	Writing	Speak/Listen
Competency Level/Development Considerations			
Numeracy	Number	Handling Data	MSS
Competency Level/Development Considerations			
ICT	Keyboard Skills	Programs/Applications	Hardware
Competency Level/Development Considerations			

Occupational Skills ⁸

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

Learning needs / identified barriers to employment from the baseline interview ⁹

Comment (Summative evaluation of personal profile including preferred learning style/s and additional learning needs) ¹⁰

Annex 1 (cont)

TRAINING ARRANGEMENTS
Targeted Qualifications ¹¹

Curriculum Area	Target Qualification Name	Qualification Reference No.	Credit Value
Professional & Technical			
Employability			
Personal & Social Development			
			Tutor/ Location
			Target Date
Milestone Targets ¹²		Delivery Method	
1			
2			
3			
4			
5			
6			
7			
8 (Full Achievement)			

Overall course of learning on *Training for Success* (to total at least 72 credits) ¹³

Qualification Name	Qualification Reference No.	Level	Credit Value

	Total credit value
Contribution to relevant ApprenticeshipsNI level 2 competence based qualification (where appropriate) ¹⁴	

Essential Skills¹⁵

	RRQ	Target Level	Tutor/ Location	Target Date
Literacy				
Numeracy				
ICT				

Other Enhancements/Qualifications/Courses ¹⁶

Qualification Unit Title	RRQ	Tutor	Location	Target Date

Other Support arrangements including Disability Support and additional learning support.¹⁷

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
WORK EXPERIENCE/PLACEMENT (See Delivery Agreement)				
Employer		Start Date		
Contact		Duration		
STATEMENT OF PARTICIPANT'S TRAINING OBJECTIVES				
Under the <i>Training for Success</i> arrangements I				
PTP REVIEW				

Participant's progress towards the targets and objectives of this *Training for Success* PTP will be reviewed at four and six weekly intervals depending on the strand undertaken by the participant.

Participant		Date	
Organisation representative		Date	

Explanatory Notes on Completion of PTP

1. Client Reference Number – Insert Client Reference Number generated after registering client on Trainee Management System (TMS).
2. Client Date of Birth – Training Suppliers must evidence client date of birth to confirm eligibility for the programme.
3. Where training is being undertaken within Training for Success 2013, participants must have a Unique Learner Number (where one does not already exist) drawn down from the Learning Records Service and which must be recorded on TMS and the Personal Training Plan. Participants must also be registered with the relevant Awarding Bodies within the timeframe specified in these Guidelines.
4. Does the participant have a disability as defined by the Disability Discrimination Act 1995?
5. Insert the title of the training strand being undertaken, Skills for Your Life, Skills for Work level 1 or Skills for Work Level 2.
6. Participant Background - to include;
 - school/college attended;
 - all qualifications entered for, all qualifications achieved during formal education, including Key Skills awards and or qualifications gained through the Entitlement Framework;
 - previous work experience either through school/college work placement, summer jobs etc;
 - participant hobbies interests;
 - employment objectives – record participant's job aspirations/objectives.
7. Essential Skills - Record results of initial and diagnostic assessment. Where qualifications entered for or previously achieved indicate a competency level higher than the initial diagnostic assessment, the Training Supplier must outline the steps to be taken to return participant to his/her previous level of achievement.
8. Occupational Skills – Suppliers must record the results of initial assessment of participant occupational skills reflecting the range of development assessed from No Development through to Well Developed.
9. Suppliers must insert details of participant learning needs and /or identified barriers to employment from the baseline participant interview.
10. Suppliers must insert a summative evaluation of participant personal profile including preferred learning style/s and additional learning needs.
11. Suppliers must insert the Targeted Qualifications in each curricular area to include the Target Qualification Name, Qualification Reference Number and Qualification Credit Value as drawn directly from the Register of Regulated Qualification.
12. Milestone Targets – Suppliers must insert the anticipated Milestone Targets, indicating target, how training to meet target is to be delivered, where and by whom and the target date for completion of each Milestone Target.
13. Suppliers must insert summary of overall course of learning on *Training for Success2013*.
14. Suppliers must insert the contribution to the relevant ApprenticeshipsNI Level 2 Framework of the competence based qualification being followed, (where appropriate).
15. Suppliers must insert the targeted level of Essential Skills. The targeted level must be at least one level higher than that originally assessed or achieved by the participant. The Department reserves the right to recoup any monies paid in respect of Essential Skills ORF where evidence subsequently emerges of prior achievement at the same level.
16. Suppliers must insert any additional enhancements, qualifications, courses to be included in training.
17. Suppliers must record all Support Arrangements (including disability support and additional learning support) which will be put in place to address participant learning/training needs.

Review and Monitoring (Complete new sheet for each Review)				
Targeted Qualifications	Review		Targets	
	Date		Date	
Professional & Technical Qualification(s) <small>Incl Qualification No.</small>				
Essential Skills				
Personal Development/ Employability <small>Incl Qualification No.</small>				
Other				
Action required				

Participant, Employer and Training Supplier MUST sign below

Participant		Date	
Employer		Date	
Training Supplier Representative		Date	

15.2. TfS 2013 Induction Checklist

Annex 2

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

Information about Training for Success (2013)

- 1) I have received a copy of the Participant Handbook/Course Handbook
- 2) I have received information on the terms and conditions of the programme, including hours of attendance, holiday entitlement, absence due to sickness or unauthorised absence, travel conditions and allowances and financial incentives for participants.
- 3) I have received information on the relevant curriculum content of my intended programme of study, progression routes and possible career opportunities.
- 4) I have received information and instruction on best practice regarding safe working practices in my chosen occupational area.
- 5) I have received information on my responsibilities as a participant under Training for Success (2013).
- 6) I have received information on the process involved in creating a Personal Training Plan (PTP), the purpose of the PTP and its role throughout my time on Training for Success (2013).
- 7) I have received information on the Progress File, its purpose and content.
- 8) I have received information on the process involved in the initial assessment of my Essential Skills.
- 9) I have received information and have access to clear written procedures on grievances and disciplinary matters, and have been informed of those procedures at the induction.

Information about the Training Supplier

- 10) I have received an introduction to the Supplier's premises, including emergency exits, fire drill, assembly points and domestic facilities.
- 11) I have received information on the supplier's complaints and formal appeals procedure and on how the participant can escalate a complaint to the Department.
- 12) I have received information on the support services available to me.
- 13) I have received information from the Training Supplier providing me with the name and contact details of a nominated key contact within the Supplier's organisation.

14) I have received information containing the name and contact details of my careers advisor who will provide advice and guidance during my time on programme.

15) I have received information on how the supplier complies with Section 75 of the NI Act 1998 and current Safeguarding legislation.

When participant enters work placement, further induction is to be completed.

Participant's Name _____

Participant's Signature _____

Date _____

15.3. Personal Training Plan, Supplier Checklist Annex 3

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 participant requirements?	Yes	No
<ul style="list-style-type: none"> • Careers/Employment Objectives? 	Yes	No
<ul style="list-style-type: none"> • Training Objectives? 	Yes	No
<ul style="list-style-type: none"> • Skills? 	Yes	No
<ul style="list-style-type: none"> • Other Enhancements? 	Yes	No
<ul style="list-style-type: none"> • Training Arrangements? 	Yes	No
<ul style="list-style-type: none"> • Support? 	Yes	No
<ul style="list-style-type: none"> • 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 participant needs?	Yes	No
Does the PTP reflect your own notes/information on this participant?	Yes	No
Have all Stakeholders' programme inputs been included in the PTP (e.g. work 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 experience details reflect the participant's employment objectives?	Yes	No
Is the duration of work experience outlined with anticipated increase?	Yes	No
Does the PTP clearly demonstrate the necessary training arrangements to enable the participant to achieve their overall programme objectives?	Yes	No
Ongoing Review		
Is the PTP unique for each participant 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

15.4. Delivery Agreement

Annex 4

1. Employer Details

Company Name (Print) _____
Nature of Business _____
Address: _____

Postcode _____
Telephone Number _____
Name of Contact (print) _____
Position _____
Contact for Participant _____
Position _____
Duration of Placement _____

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

2. Training for Success 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. Employer Responsibilities

- 4.1 To provide the experience, facilities, and training necessary to achieve the training objective as discussed and agreed with the *Training for Success* 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. *Training for Success* 2013 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 *Training for Success* training.

6. Supplier Responsibilities

- 6.1 To monitor the training of the *Training for Success* participant and confirm that the Supplier's quality assurance requirements, including health and safety obligation, are being met.
- 6.2 To assist the *Training for Success* participant to identify and record their achievement throughout the work experience period.

Employer - Skills Activities (on-the-job training)
Attendance Arrangements

Training for Success Participant – Experience/Outcomes

Supplier - Learning Activities (off-the-job training)
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 Participant
Objectives Achieved	
Punctuality	
Attitude/Motivation	
Working Relationships	
Evaluation (Participant/Supplier)	

Training for Success Participant	Please comment on your placement	
My Workplace Experience		
My Punctuality		
My Attitude/Motivation		
My Working Relationships		
My Evaluation (Placement/Supplier)		
Supplier	Future activities for participant	
Employer - Sign/Date	Participant- Sign/Date	Supplier- Sign/Date

15.5. Useful Contacts

Annex 5

NAME	ADDRESS	TEL	FAX	WEB
Equality Commission for Northern Ireland	Information & Advice Team Equality House 7-9 Shaftesbury Square Belfast	(028) 9050 0600	(028) 9033 1544	www.equalityni.org
DfE Information Management & Communications Branch	DfE Clarence Court 10-18 Adelaide Street Belfast BT2 8GB	028 9025 7474		www.economy-ni.gov.uk peter.hodgett@economy-ni.gov.uk
Council for the Curriculum, Examinations and Assessment (CCEA)	CCEA Regulation 29 Clarendon Road Clarendon Dock Belfast BT2 8FD	(028) 9026 1200	(028) 9026 1234	ccearegulation@ccea.org.uk
DfE Commercial Services Branch	1 st Floor Adelaide House, 39-49 Adelaide Street Belfast BT1 3LY	028 9025 7671 <i>Payment Processing</i> 028 9025 7786 <i>Contract Compliance</i>		csb@economy-ni.gov.uk
DfE Training Programmes Branch	5 th Floor Adelaide House 39-49 Adelaide Street Belfast BT2 8FD	(028) 90905212		trainingforsuccess@economy-ni.gov.uk

15.6. Claims Calendar

Annex 6

CLAIMS CALENDAR

CLAIMS TIMETABLE FOR *TRAINING FOR SUCCESS* 2017/18

Claim Period	Week Commencing	Week Ending	To be in CSB by
1	05/03/2018	01/04/2018	13/04/2018
2	02/04/2018	01/05/2018	11/05/2018
3	30/04/2018	27/05/2018	08/06/2018
4	28/05/2018	24/06/2018	06/07/2018
5	25/06/2018	22/07/2018	03/08/2018
6	23/07/2018	21/08/2018	31/08/2018
7	21/08/2017	17/09/2017	30/09/2017
8	18/09/2017	15/10/2017	27/10/2017
9	16/10/2017	12/11/2017	24/11/2017
10	13/11/2017	10/12/2017	22/12/2017
11	11/12/2017	07/01/2018	19/01/2018
12	08/01/2018	04/02/2018	16/02/2018
13	05/02/2018	04/03/2018	16/03/2018

15.7. Training for Success 2013 Funding Tables Annex 7

Weekly training fees, ORF payments, and participant bonuses

		Disabled (Note 7)
	£	£
Weekly Training Fee (Note 1)	60	90
Number of weeks supported	104	156
Additional Learning Support (see Note 7* below)	£3 weekly	£3 weekly
PTP payment (Note 2)	550	550
Targeted Qualifications Output Related Funding		
Personal and Social Development Qualification	200	200
Employability and Skills Qualification	200	200
Professional and Technical Qualification	250	250
Essential Skills (Note 3)		
Paid on achievement of ICT	200	200
Paid on achievement of Numeracy / Application of number	200	200
Paid on achievement of Literacy / Communication	200	200
Progression Payments (Note 4)		
On progression to <i>ApprenticeshipsNI</i> , FE, or employment between 36 weeks and 60 weeks	500	500
On progression to <i>ApprenticeshipsNI</i> , FE, or employment between 61 weeks to 104 weeks	250	250
Payments to participants		
EMA per week (Note 5)	40	40
Number of weeks supported	104	156
Participant bonus (Note 6)		
Stage payment 13 weeks	40	40
Stage payment 26 weeks	40	40
Stage payment 39 weeks	40	40
Stage payment 52 weeks	40	40
Stage payment 65 weeks	40	40
Stage payment 78 weeks	40	40
Stage payment 91 weeks	40	40
Stage payment 104 weeks	80	40
Stage payment at 117 weeks	N/A	40
Stage payment at 130 weeks	N/A	40
Stage payment at 143 weeks	N/A	40
Stage payment at 156 weeks	N/A	80
Overall EMA payments to participant	4160	6240
Overall bonus funding to participant	360	520

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Notes:

1. Participants on Skills for your Life and Skills for Work level 1 will receive an additional £3 per week in relation to additional learning support*.
2. Paid on approval of the PTP on TMS by the Department which must be claimed within **12 weeks** of the start date.
3. The Department will make one payment per Essential Skill. This must be achieved at least one level higher than the assessed level of the participant upon entry to the programme or at level 2 (see paragraph 3.3.22 to 3.3.33).
4. Progression payments will be made after 13 weeks of sustained participation on *ApprenticeshipsNI*, further education, or employment obtained immediately on progression from *Training for Success*. Participants must have spent a minimum of 36 weeks on *Training for Success 2013*.
5. EMA is payable to the participant directly by the training supplier (see section 10.2).
6. Participant bonus paid to participants by Suppliers and reimbursed by Department. Participants will receive a maximum of £360 bonus payments in addition to their weekly Educational Maintenance Allowance of £40 per week (or £520 if the participant has an entitlement to 156 weeks).
7. Young people with a disability are eligible to enter the provision if they have attained the minimum school leaving age, are unemployed and under 22 years of age. A premium weekly training fee may be payable in respect of participants with a disability (see paragraph 13.3.3). This premium aims to help a Supplier provide significant additional input of resources in terms of training time, equipment, or support in order for the participant to benefit fully from the training. In addition, Disability Support is also available (see paragraph 13.3.3 and paragraph 14.9.514.9.5).

*** Additional Learning Support of £3 weekly is payable in respect of all participants whose PTP indicates either Skills for Your Life or Skills for Work Level 1 as the relevant strand being undertaken.**

15.8. Disability Support Suppliers.

Annex 8

Contracted Disability Support Suppliers

NAME	CONTACT	ADDRESS	TELEPHONE
Disability Action	Laura McCartney	Portside Business Park 189 Airport Road Belfast BT3 9ED	Tel: (028) 9029 7880 Fax: (028) 9029 7881 lauramccartney@disabilityaction.org 028 9029 7874
Sensory Learning Support	James Somerville	85 Jordanstown Road Newtownabbey BT37 0QE	(028) 9086 3541 Mob: 07837516686 mail@slsservice.org.uk
The Cedar Foundation	Mr Kieran Molloy	1a Woodside Road Industrial Estate Woodside Road Ballymena BT42 4QJ	(028) 2565 9111 K.Molloy@cedar-foundation.org
Ulster Supported Employment Ltd. (USEL)	Mr Arthur Savage	182-188 Cambrai Street Belfast BT13 3JH	Tel: 028 9035 6600 Fax: 028 9035 6611 Mob: 07739348817 asavage@usel.co.uk

15.9. Travel Contributions – Contract Management Areas² Annex 9

The following contribution to weekly travel costs will be paid for all participants in the components of *Training for Success2013*.

	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	“

²

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.

Travel Contributions – Contract Management Areas³ (cont)

	£9
Moyle	“
Newry & Mourne	“
Omagh	“
Strabane	“

3

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.

15.10. Childcare Payments

Annex 10

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.

15.11. Disciplinary Letters

15.11.1. Specimen Record of Verbal Warning

Annex 11a

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

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 ADV**

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 The Economy that you should be dismissed from *Training for Success*. 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 AD

Specimen Suspension/Dismissal - Letter

Dear

I regret to inform you that it has become necessary to end your period of training at
and you will be suspended* from training for a period of **(2 weeks / 4 weeks)** delete as appropriate
and you will be dismissed* from training

Insert Reason.....

with effect from due to

Because of this you will not be permitted to re-enter training under *Training for Success* until a period of delete as appropriate
8 weeks/13 weeks has elapsed since your last day of training. If, at that stage, you are eligible to re-join 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 The Economy, Room 307, 5th Floor, Adelaide House, 39-49 Adelaide Street, Belfast, BT2 8FD **stating
the full grounds of your appeal**. Your appeal must be received within **7** days of issue of this letter.

I have arranged for you to see a Careers Adviser at

.....

on at **am/pm**.

Yours sincerely

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

15.12. Participant Enrolment/Equality Monitoring Form Annex 12

Training for Success 2013

GENERAL DETAILS

Name:

Address:

Post Code:

Tel. No:

Date of Birth

Your age today

Are you: Male

Female

PERSONAL DETAILS

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

Mixed Ethnic Group

Other Ethnic Group

Do you belong to any of the following groups?

Lone parent Migrant Other disadvantaged

Lone Parents: Any lone parent with dependent 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:

Length of time out of work

Please tick the relevant box to indicate which of the following describes your economic status prior to starting the project:

- **Inactive but in education or training?**
- **Unemployed?**
- **Inactive but not in education or training?**

Inactive in education and training – refers to undertaking either education or training prior to starting. This category includes those who start during the week commencing the first Monday in September. If you leave

school in June you are not eligible to claim Jobseeker's Allowance until the first Monday in September so up until then you would still be considered to be in education or training.

Unemployed – refers to not working but are looking for work prior to starting. This category excludes those school leavers who start training during the week commencing the first Monday in September.

Inactive not in education and training – refers to those who were not looking for work prior to starting due to for example illness or a family commitment.

How long have you been out of work?

Less than 6 months	<input type="checkbox"/>	6 – 11 months	<input type="checkbox"/>
12 – 23 months	<input type="checkbox"/>	24 + months	<input type="checkbox"/>

Are you a new entrant to the labour market? Yes No

New Entrants: Those who have never worked in a full time permanent position and who have never looked for such a position, for example school leavers.

Are you a returner to the labour market? Yes No

Returners: Those who have worked in the past but who were absent from the labour market, not working and not looking for work, for a period of time for any reason, for example sickness or training.

Qualifications!

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

Below NVQ Level 1	<input type="checkbox"/>	NVQ Level 1	<input type="checkbox"/>	NVQ Level 2	<input type="checkbox"/>
NVQ Level 3	<input type="checkbox"/>	NVQ Level 4	<input type="checkbox"/>	No qualifications	<input type="checkbox"/>

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.

PARTICIPANT DECLARATION

I declare that the details given on this form are true to the best of my knowledge.

Signed _____ Date _____

Equality Monitoring Form

The following data is also captured in respect of the Department for the Economy 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.

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
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

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 both the same sex and of the opposite sex

EQUALITY MONITORING-GUIDANCE ON QUALIFICATION LEVELS

Qualifications

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

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 Guidance Note to find out the level of your qualification.

ACADEMIC/VOCATIONAL QUALIFICATION LEVELS

Level	Academic NVQ qualification name	Vocational qualification name
Non-NVQ Level 0	RSA Word Power RSA Number Power CLAIT	
Level 1	GCSE/SCE/O-level grades below C (or fewer than 5 at grades A-C) CSE grades below 1 1 AS level	BTEC/SCOTBTEC/SQA - First Certificate 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
Level 2	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 Pitman’s – Intermediate Level 2 Diploma Certificate RSA – Diploma Intermediate GNVQ/GSVQ NVQ/SVQ Level 2 ECDL
Level 3	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 Pitman’s – 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
Level 4	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

15.13. TOC - RRQ Mapping

Annex 13

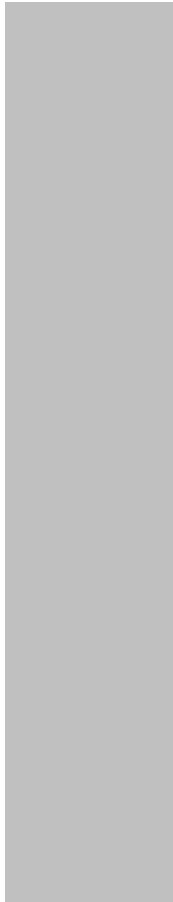
TOC	Fund Cat	TOC DESCRIPTION	RORQ REF	RORQ DESCRIPTION
A11	A	Personnel Administration	15.2	Administration
A12	A	Finance & Law	15.1	Accounting & Finance
A13	A	Ops Research / Stats	2.2	Maths & Statistics
A14	A	Business Studies	15.2	Administration
A15	A	Administration	15.2	Administration
A16	A	Reception / Secretarial	15.2	Administration
A21	A	Information Science	15.2	Administration
A31	A	Enterprise Training	15.2	Administration
A41	B	Computer Science	6.1	ICT Practitioners
A42	A	General Computing / DP	6.2	ICT for Users
A91	A	Management	15.3	Business Management
B11	A	Design	9.2	Crafts Creative Arts, Design
B12	A	Craft Production	9.2	Crafts Creative Arts, Design
B13	A	Photography / AVC	9.2	Crafts Creative Arts, Design
B14	A	Performing Arts	9.1	Performing Arts
B15	A	Other Art	9.2	Crafts Creative Arts, Design
B21	A	Report Writing	9.4	Publishing, Information Services
B22	A	Language Translation	12.2	Other Lang, Lit & Culture
B31	A	Teacher Training	13.1	Teaching & Lecturing
B32	A	Ed Guidance / Careers	13.1	Teaching & Lecturing
B41	A	Leisure	8.1	Sport, Leisure, Recreation
B91	A	Management / Adv Training	0	N/A
C11	A	Nursing Studies	1.2	Nursing & Medicine
C12	A	Med / Psych Diagnosis	1.1	Medicine & Dentistry
C13	A	Med & Tech	1.1	Medicine & Dentistry

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C14	A	Non Surg - Medical	1.1	Medicine & Dentistry
C15	A	Ambulance Officers	1.2	Nursing & Medicine
C21	A	Social Work / Care	1.3	Health & Social Care
C21	A	Childcare	1.5	Childcare
C31	A	Cleaning, Ward Aux	1.2	Nursing & Medicine
C32	A	Hair & Cosmetics	7.3	Service Enterprise
C33	A	Housekeeping/ Dom Help	1.2	Health & Social Care
C91	A	Management Adv Training	0	N/A
D11	A	Retailing	7.1	Retailing & Wholesaling
D12	A	Marketing / Advertising	15.4	Marketing & Sales
D13	A	Storage Warehousing	7.2	Warehousing, Distribution
D91	A	Management Adv Training	0	N/A
E11	A	Science & Maths	2.1	Science
E12	A	Scientific & Technician	2.1	Science
E13	A	Dietetics & Nutrition	1.3	Health & Social Care
E14	A	Env. & Public Health	1.3	Health & Social Care
E91	A	Management / Adv Training	0	N/A
F11	B	Food Prep & Cooking	7.4	Hospitality & Catering
F12	B	Food Service	7.4	Hospitality & Catering
F13	B	Hotel / Inn Keeping	7.4	Hospitality & Catering
F91	B	Management Adv Training	0	N/A
G11	B	Agriculture	3.1	Agriculture
G12	B	Horticulture, Gardening	3.2	Horticulture, Forestry
G13	B	Forestry	3.2	Horticulture, Forestry
G14	B	Veterinary	3.3	Animal Care, Vet Science
G91	B	Management / Adv Training	0	N/A
H11	A	Fishing	3.1	Agriculture
H91	A	Management / Adv Training	0	N/A

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J11	A	Transport Operations	4.3	Transport Ops & Maintenance
J91	A	Management / Adv Training	0	N/A
K11	B	Design, Surveying & Val	5.2	Building & Construction
K12	B	Civil Engineering / Constrn	5.2	Building & Construction
K13	B	Building Brick/Pav/Stone	5.2	Building & Construction
K14	B	Building/Plumb/Heat/Refrig	5.2	Building & Construction
K15	B	Building Wood/Glaz/ etc	5.2	Building & Construction
K91	B	Management Adv Training	0	N/A
L11	A	Mining / Oil Extraction	0	N/A
L91	A	Management / Adv Training	0	N/A
P11	B	Motor Vehicle Repair	5	Transport Ops & Maintenance
P91	B	Management Adv Training	0	N/A
R11	B	Printing / Book Production	9.4	Publishing, Information Science
R91	B	Management Adv Training	0	N/A
T11	A	Security	1.4	Public Services
T91	A	Management / Adv Training		NA
W11	A	Processing	4.2	Manufacturing Technologies
X11	B	Mechanical Engineering	4.1	Engineering
X12	B	Electrical Engineering	4.1	Engineering
X13	B	Electronic Engineering	4.1	Engineering
X14	B	Planning & Qual Cntrl Eng	4.1	Engineering
X91	B	Management Adv Training	0	N/A
			3.4	Environmental Conservation
			3.4	Environmental Conservation
			5.1	Architecture
			5.3	Urban, Rural, Reg Planning
			8.2	Travel & Tourism
			9.3	Media & Communication



- 10.1 History
Archaeology / Archaeological
- 10.2 Science
- 10.3 Philosophy
- 10.4 Theology & Religious Studies
- 11.1 Geography
- 11.2 Sociology & Social Policy
- 12.1 Lang, Lit & Culture of British Isles
- 12.3 Linguistics
- 13.2 Direct Learning Support
- 14.1 Foundations for Learning & Life
- 14.2 Preparation for Work
- 15.5 Law & Legal Services

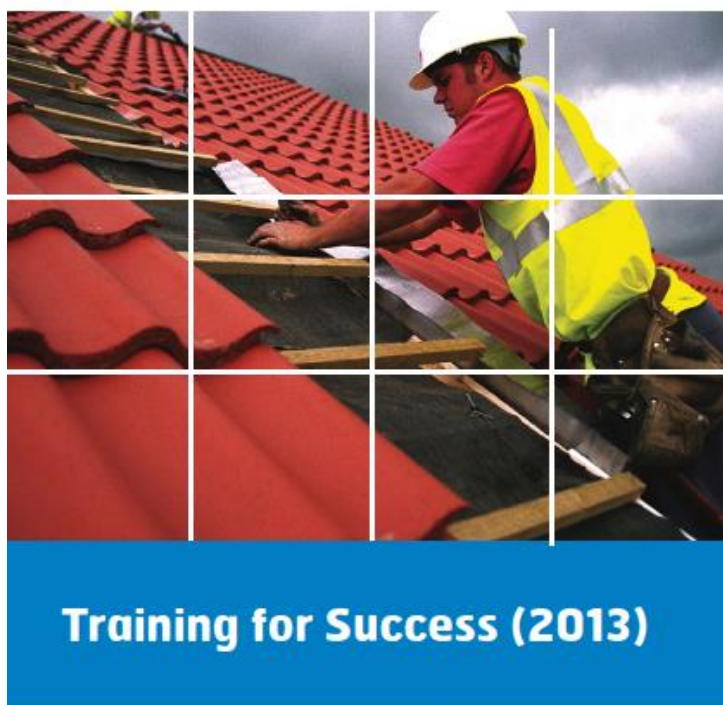
15.14. Disability/Special Needs Codes Annex 14

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* Should also be recorded under Disability Code 24 (Learning) above.
0	OTHER

15.15. Participant Handbook

Annex 15



PARTICIPANT HANDBOOK

May 2016

15.16. Guidelines on Residential Training

Annex16

Annex 16



15.17. Training for Success Performance Indicators Annex 17

A minimum of **65% of all starts** (including progressors) from the date of the award of this Contract and for the duration of this Contract, to achieve all the agreed targeted qualifications detailed in their PTP, within the participant's agreed training period.

Details on targeted qualifications are set out in section 3.3 and include qualifications in professional and technical skills, employability skills, personal and social development as well as Essential Skills (Communication, Application of Number, and ICT).

15.18. IT Requirements for Training for Success. Annex 18

Instructions issued in TMS Memo 10/13 issued October 2013. Please click on image below to read full instructions.

TMS Memo 10/13

To: All Training for Success 2013 TMS Users

From: TMS Development Unit

Date: 25 October 2013

Training for Success 2013 Phase 2 Release TMS Implications / Instructions

1.0 Introduction

As TMS is a generic product in terms of operating structures it is not proposed in this document to teach users TMS basics. It is assumed that users are familiar with the product and have operated it in Training for Success 2008. For those new to TMS separate training arrangements have been made.

1.1 Training for Success 2013 (TFS 2013) – Programme Design

The programme has 4 strands within the programme group (under the umbrella term of TFS (2013)). These are:

- Skills for your Life (extension possible);
- Skills for Work Level 1 (not extendable);
- Skills for Work Level 2 (not extendable); and
- *Skills for Work Level 3 (not extendable) (Progression route only).

1.2 The criteria for each strand differs and at registration and on the production of the PTP an information warning box, relevant to each strand, will be displayed. The warning box will display as per sections below in italics.

Skills for Your Life

This strand is relevant only to participants:

- *Who have not achieved any formal qualifications.*

Skills for Work Level 1

This strand is relevant only to participants who have achieved:

- *at least one formal qualification but not a full Level 1 – defined as 5 GCSEs grades D-G or NVQ Level 1; and*
- *a full Level 1 qualification BUT do not meet entry requirements in English and Maths (or equivalent) for Skills for Work 2.*

Skills for Work Level 2

Instructions on entering Unique Learner Number on TMS issued as a separate memo from TMS Technical Team.

15.19. Information Requests from the Department Annex 19

Requests for information concerning *Training for Success 2013* will issue to Suppliers throughout the period of the Contract. Suppliers must comply with such requests for information as and when requested.

A separate Excel spreadsheet or other information format will accompany all such requests.

16. FORMS FOR USE IN TRAINING FOR SUCCESS 2013

16.1. List of Forms for use in Training for Success 2013

TfS 3(i) Referral for Disability Support Delivery

TfS 3(ii) Disability Support Claim Form/Batch invoice

TfS 4 Application for Assistance towards Childcare Costs

TfS 6 Bank Details Authorised Signatories

TfS 7 Work Placement Attendance Sheet

TfS 7B In-House Attendance Sheet

TfS 9 Certification Sustained Employment

TfS 10A Enforced Interruption to Training

TfS 10B Resumption to Training Following Enforced Interruption

TfS 13 Taxi Expenses Form

TfS 15 Application to Rejoin Training for Success 2013 Programme

TfS 16 Application for Lodging Allowance

TfS 17 Application for Disability Funding

16.2. Referral for Disability Support Delivery TfS 3 (i)

REFERRAL FOR DISABILITY 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 Disability Support Provider referred to _____

Date Participant Started Training _____ Client ID Number _____

Nature of Disability _____

Reason for Referral for Disability Support Provision

Signed _____

Date

PART B (To be completed by the Disability Support Provider⁴ and copied to Training Supplier)

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

On basis of the information supplied by the Training Provider/Careers ServiceNI and subsequent assessment completed by Disability Support Provider, the above referred client will require the following level of Disability Support, ___ hours/part hours per week to be delivered on an individual. These support services will be delivered from ___/___/___ to ___/___/___.

Brief Description of Disability Support to be delivered. Week

Commencing _____

Signed _____

Date _____

⁴ Disability Action, Cedar Foundation, Sensory Learning Support, Ulster Sheltered Employment Ltd

16.3. Disability Support Claim Form/Batch invoice TfS 3 (ii)

Training Organisation _____ Disability Support Supplier/Workers _____

Claim Period _____

Trainee Name	Client ID No	Date	Disability Support Delivered	No of hours	Delivery Method	Cost Per Student
Insert trainees name	Insert Client Id No	Support delivered	Insert brief description of the nature of support provided		E.g. One to One	£:pp
			Total hours claimed @ £ per hour = £			

'I have checked the information contained on this Batch Invoice and I can confirm 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 may be made available to other Departments / Agencies for the purposes of preventing or detecting crime.'

Signed _____ Date _____ Disability Support Organisation _____ Signed _____ Date _____ Training Supplier _____
--

16.4. Application for Assistance towards Childcare Costs TFS

4

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? person having parental responsibility?

*Please tick the appropriate boxes

National Insurance Number

Childcare Expenses payable from: _____

DECLARATION

Complete 1 or 2 below as appropriate

I declare that:

- I am participating in Training for Success 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 Training for Success 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 Training for Success on a non-employed basis -----
Training in another DfE 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-----

The information which I have given is correct and complete. I understand that it may be checked by DfE 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 Training for Success.

B. To be completed by the Childminder

Childminder's Name:

.....

AddressPostcode

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

or

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** for ____ days per week.

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

SIGNED: _____

DATE: ____/____/____

(CHILDMINDER)

C. To be completed by the SUPPLIER

I have confirmed the applicant to be:

- a) Parent/person* on a Training for Success Provision; or
- b) Parent/person* who is unemployed and in receipt of Jobseeker's Allowance (Income Based) or Income Support; or
- c) a *Training for Success* participant whose spouse/partner is also on *Training for Success*, 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 *Training for Success* participant whose partner is in receipt of one or more of the qualifying benefits listed in Section A (2c)

and is eligible to join *Training for Success*

(* includes person having parental responsibility)

* 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 **Training for Success**; or

is a **Training for Success** participant whose spouse/partner is also on Training for Success, non-employed status or other Departmental training programme where Benefit Based Training Allowance or EMA is being paid;

or

is a **Training for Success** 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 Day/ Weekly Rate (£)	Name of Child	Age of Child

Approval has not been given because: _____

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

Who qualifies?

You may qualify if:

- ◆ You commence training and remain a participant on Training for Success; **and**
- ◆ You are a lone parent/person having parental responsibility **or** your partner is also participating in Training for Success or other DfE training programmes on a non-employed basis, **or** your partner is in receipt of a qualifying benefit (See Section A (2c)); **and**
- ◆ You are in an eligible category and pay for your child(ren) to be cared for by a registered childminder/crèche/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/crèche 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/crèche and relative(s).

How will payments be made?

Payments will be made directly to your childminder – your childminder must forward the childminder statement form TfS4 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 Training for Success 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.

16.5. Bank Details Authorised Signatories

Form

TfS 6

Please use **CAPITAL** letters (for use in TfS 2013 only)

Supplier Details:

Name of Supplier: _____

Address: _____

Postcode: _____

Start date of provision: _____

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

Name of Bank: _____

Address: _____

Postcode: _____

Account Name: _____

Account No: _____ Bank Sort Code:

Authorised signatories

I _____ (name **CAPITAL** letters) authorise the following to sign *Training for Success 2013* 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 the Economy, Commercial Services Branch, 1st Floor, Adelaide House, 39-49 Adelaide House, Belfast, BT2 8FD.

16.6. Training for Success Work Placement Attendance Record Form TfS 7A

Day	Att. Code	Start Time	Lunch	Finish Time	Hours Worked	Comments
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						
Sunday						
Total Hours Worked						

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

Attended **UA** = Unauthorised Absence **H** = Holiday (Annual Leave)
AA = Authorised Absence **S** = Certified Sick **PH** = Bank Holiday **DR** = Off the Job Training

I confirm that the attendance above is correct and I have received EMA

Participant Signature: _____ **Date:** _____

Work Placement Provider Signature: _____ **Date:** _____

Name in full & Position in Company (*Print*): _____

Placement Provider Stamp

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

Checked By	
Verified By	
Date	

16.7. Training for Success In-House Attendance Record

Form TfS 7B

Supplier Name _____

Date w/c / / .

Participant Name	Monday				Tuesday				Wednesday				Thursday				Friday				No Of Hrs
	Att Code	Start Time	Lunch	Finish Time	Att Code	Start Time	Lunch	Finish Time	Att Code	Start Time	Lunch	Finish Time	Att Code	Start Time	Lunch	Finish Time	Att Code	Start Time	Lunch	Finish Time	

Attendance codes (Att Code)

- P** = Attended **UA** = Unauthorised Absence **DR** = Off the Job Training **AA** = Authorised Absence
- S** = Certified Sick **H** = Holiday (Annual Leave) **PH** = Bank Holiday **SU** = Suspension

NB: Use of ticks in place of attendance codes/or start and finish times is not acceptable.

I can confirm that the above attendance information is correct. Supplier Signature: _____ Date: _____

For Office use only

Checked By	
Verified By	
Date	



16.8. Certification Sustained Employment Form TfS 9 (Rev 2015)

(for TfS 2013 participants only)

Section A – This section must be completed by the Employer **before section B can be completed by the Supplier.**

NAME OF EMPLOYEE (Capital letters) _____

NATIONAL INSURANCE NUMBER _____

Employer Name _____

Address _____

_____ Post Code _____

Telephone Number _____ Mobile number _____

Declaration:

This is to certify that the above named person started employment with this business on _____ (date of start) working 16 hours or more per week and: is still in employment. _____ (Enter Yes/No)

Has left employment on. _____. (If applicable, insert date of leaving)

I consent to the Department for The Economy having access to any relevant business records, to verify that the above named employee was in my employment during the period specified. I also understand that access to relevant business records may be made available for the purpose of prevention or detection of crime.

Signed _____ *Employer/Manager/Supervisor
(*delete as appropriate)

Name (Capital letters) _____ Date _____

CERTIFICATION OF SUSTAINED EMPLOYMENT

Section B – To be completed by Training Supplier:

(Note: The Department reminds Training Suppliers of their obligation under the Data Protection Act 1998 relating to the processing of personal data).

Name of Supplier

Declaration:

I certify that _____ Unique Client ID
_____:

Commenced the *Training for Success* programme on _____
(date per TMS);

Obtained employment after at least 36 weeks participation following commencement
as a *Training for Success2013* participant,

The employment was sustained for at least a 13-week continuous period immediately
on leaving the *Training for Success 2013* programme on _____
(date per TMS); and

The above information is true and accurate.

I hold acceptable evidence as set out in Paragraph 14.12.1 of the Operational
Guidelines for the Completion and Submission of Form TfS 9 (Rev 2015)

Signed _____ (on behalf of Supplier)

Date _____

(*Authorised Person within the Organisation*)

Name (Capital letters) _____

Position

For Official Use:

Checked and CMS actioned by _____ Date _____

GUIDELINES FOR THE COMPLETION AND SUBMISSION OF THE CERTIFICATION OF SUSTAINED EMPLOYMENT OUTCOME FORM TfS 9 Rev 2015

Suppliers **must** comply with the following guidelines when completing and submitting the 'Certification of Sustained Employment Outcome' form TfS 9(Rev 2015), to Commercial Services Branch (*Payment Processing*).

1. COMPLETION OF FORM TfS 9 (Rev 2015)

- (a) Completed details on form TfS9 (Rev 2015) must be original. Faxed or photocopied information will not be accepted by Commercial Services Branch (*Payment Processing*).
- (b) Amendments and corrections to details on form TfS9 (Rev 2015) will not be accepted.
- (c) All sections of the form must be properly and accurately completed, signed and dated. Suppliers are reminded that they should only complete Section B of the form **after** the Employer has completed Section A.
 - Under no circumstances should a Supplier complete Section A of the form on behalf of the Employer.
 - The Supplier must pass a blank form to the Employer to complete the details in Section A, sign and date the Declaration.
 - The form must then be returned to the Supplier for completion of Section B.
- (d) The signature on behalf of the Supplier in [Section B] must be that of a duly authorised person within the organisation, and in accordance with the authorised signatories detailed in the 'Bank Details and Authorised Signatories' form TfS6 forwarded to Commercial Services Branch (*Payment Processing*).
- (e) Where a participant completes his/her time in *Training for Success* and progresses to employment, there must not be a break between the date the participant leaves *Training for Success* [as shown by the Supplier in Section B of the form] and the date of commencing employment [as shown by the Employer in *Section A*].
- (f) Suppliers should note that the actual date of leaving/progressing as recorded in TMS should correspond with the date of leaving *Training for Success 2013* as shown by the Supplier in Section B of the form. Again, **at least 36 weeks** participation from commencement of *Training for Success 2013* participation must have been completed **before** the participant's actual date of leaving.

- (g) Section A of the form must only be completed by the Employer **after** expiry of the 13-week continuous period of sustained employment immediately following the participant's actual date of leaving *Training for Success.2013*
- (h) The Supplier must ensure that the Employer maintains an appropriate record of the wages paid to the employee named in Section A during the 13-week continuous period of sustained employment and this record must be retained for Inspection purposes.

2. SUBMISSION OF FORM TfS 9 (Rev 2015)

- (a) Completed form TfS 9 (Rev 2015) must be submitted (via post/by hand) to Commercial Services Branch (*Payment Processing*) on the same day as the request for approval to claim Employment ORF is e-mailed from TMS to CMS.
- (b) The form should be submitted to a contact in Commercial Services Branch (*Payment Processing*), i.e. the person who normally processes the Supplier's claim or has signed the letter issued to the Supplier following a check of the previous claim.
- (c) Where it is necessary for a form to be returned to a Supplier by Commercial Services Branch, it is essential that, for the purpose of requesting payment of Employment ORF, **the form must be resubmitted or a fresh form submitted where appropriate within the 7 claim periods** immediately following the period in which the participant left the programme.

3. EVIDENCE OF EMPLOYMENT

For audit purposes, the Supplier **must** obtain evidence to confirm that the participant was employed for the 13-week continuous period of sustained employment immediately on leaving the TfS programme i.e. the period qualifying for entitlement to Employment Output-Related funding. Such evidence should comprise one or more of the following:

- Copy of written contract of employment (endorsed by employer and employee);
- For those employees earning above the National Insurance Contributions lower earnings limit - copy Inland Revenue form P46 notifying HMRC of new employee;
- Copy of detailed Letter of Appointment, on Employer headed paper, containing specific terms and conditions of appointment.

In exceptional circumstances, the Department may consider other forms of evidence as acceptable e.g.

- Copy Employer's PAYE / National Insurance records. (The records must relate to the qualifying 13-week period of employment).
 - Copy evidence of named inclusion in other payroll / personnel records (again, relevant to the 13-week qualifying period).
 - Third party evidence e.g. written information obtained from business accountant.
4. Suppliers are reminded that the Department shall recover funding where these guidelines have not been complied with or where it is found claims cannot be adequately validated.

16.9. Enforced Interruption to Training Form TfS10A

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: _____
(Supplier Authorised Signatory)

Date: __/__/__

Supplier: _____

16.10. Resumption following Enforced Interruption Form TfS10B

To: _____ JobCentre/ Jobs and Benefits Office / Careers
Office

Participant Name (Print): _____ Date of
Birth: ___/___/___

Address: _____
_____ Postcode: _____

This Supplier notified you on Form 10A 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: _____
_____/_____/_____
(Supplier Authorised Signatory)

Date:

Supplier: _____ (copy to be retained)

16.11. Travel Expenses Claim Form TfS13 (Rev May 2016)

(Only to be submitted to TPB 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 _____

Post Code _____ Tel No _____

Work Placement Name _____

Work Placement Address _____

Postcode _____

Date participant started training or commenced work placement _____

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 _____

Is participant travelling outside of contract management area in which they live for directed training? Yes/No

Does Participant have a registered Disability which has been recorded on TMS?
Yes/No – If Yes please provide details.(Please enclose three quotations for the related taxi journey(s))



Form TfS 13 (cont)

Participant's Occupational area _____

Please enclose three quotations for the related taxi journey(s)

Please give details of the participant's journey to and from his/her home/training location / work placement and state mode of transport.

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

If travel is by private transport please confirm total return mileage _____

Weekly amount to be approved £ _____
 (i.e. the weekly travel costs incurred is £50 or over per week including participant and standard contribution).

Part 4

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

Travel expenses payable from _____ (date)
 (Please note that approval must be sought before the cost is incurred)

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 the Economy.

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



16.12. Application to Rejoin Training for Success 2013 Programme Form TfS15

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 *Training for Success2013*

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 _____
 Name (CAPITALS) _____
 Date ____/____/____ Date

For Office Use
 Careers Service Signature _____ (Name)
 Date ____/____/____

Following Training Credit Issue - cc: Supplier/Commercial Services Branch and retain copy for JobCentre/Jobs and Benefits/Careers Office



16.13. Lodging Allowance Claim Form TfS 16

- 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 *Training for Success* participant

Name of Supplier _____

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 Training 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 Supplier)

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

16.14. Application for Disability funding Form TfS 17

To the Supplier

Date: ___ / ___ / ___

Your application via TMS for additional funding for client [insert Client reference] on the **Training for Success/ApprenticeshipsNI* programme is on hold as the Department currently has no evidence that a disability exists.

If you wish to proceed with this application you are required to seek appropriate evidence from a recognised source such as a health and social care professional or educational professional. Such evidence must be provided using the enclosed template and sent to the appropriate local Careers Office to facilitate a review of your application.

The evidence must be with the local Careers Office within 3 weeks of the date of this letter. If no evidence is received within this timeframe the application will be rejected.

In the event that you cannot source evidence but you are still of the view that a disability exists you can request a referral for an assessment to be undertaken by the Department for Communities Occupational Psychologist (OP). Such a request must be provided on the OP Referral Form enclosed. This must be sent to the local Careers Office for processing.

On carrying out the assessment, OP will make a recommendation in its Summary Report. This will be copied to the local Careers Office to facilitate the recording of a disability via CMS if appropriate. The local Careers Office will advise you of the outcome of the assessment and provide you with a copy of the OP Summary Report. In the event that the OP Summary Report indicates that support is appropriate you should re-submit your application.

Department for the Economy

**Delete as appropriate*

***Health and Social Care Professional**

*** Educational Professional**

Application for Disability Support

***Patient/Client Name:** _____

Home Address: _____

Trainee reference: _____

I understand that [_____] **is/was a *patient/client/student* in your **practice/care/school*. [_____] is participating in the Department for the Economy's **Training for Success 2013/ApprenticeshipsNI* programme. Under this programme Disability Support can be provided for those who have a disability to help them benefit fully from the training on offer and to achieve the best possible outcomes.

In order to draw down this support the Department requires evidence of a disability where no previous evidence exists. The Department has advised that it has no record of [_____] having a disability.

However, in my capacity as **his/her* Training Supplier I am of the opinion that this client has a disability and would benefit from support. I am therefore seeking evidence from you to support my assessment.

I have provided a template to facilitate this request and would greatly appreciate your time in providing any supporting information you feel may be appropriate. Any evidence supplied will be treated confidentially and it will be passed to the Department to facilitate a review of an application for support.

Training Supplier

*Delete as appropriate

PARENTAL/GUARDIAN CONSENT FORM STATEMENT OF EVIDENCE

Trainee Name: _____

Address: _____

D.o.B

dd *mm* *yyyy*

To _____

(insert name of Doctor, Health and Social Care or Educational Professional)

I hereby consent to the provision of evidence to support a request for disability support for (_____) who is participating in *Training for Success 2013*.

(Insert Trainee Name)

Signed: _____

Trainee/Parent/Guardian

Date: _____

Training Suppliers should retain a copy of the completed form in the participant hard-copy records.

***Training for Success 2013/ApprenticeshipsNI programme**

STATEMENT OF EVIDENCE

***Patient/Client/Student Name:** _____

Home Address: _____

Trainee reference: _____

This form facilitates the provision of evidence to support a request for disability support.

Please use the boxes provided to answer the following questions.

Does this individual have a disability? Yes No

If Yes which category does it fall in to?

Hearing

Learning

Mental Health

Physical/Mobility

Visual

Hidden/other (e.g. speech/heart)

Name: _____

Profession _____

Address: _____

Signature: _____

Date: _____

***Delete as appropriate**
