

## APPENDIX 1

### TVCA ADULT EDUCATION BUDGET POLICY INDEX

The table below details all TVCA 2019/20 Adult Education Budget Policies, a description and detail regarding the level of change from the existing 2018/2019 ESFA policies.

Policy Title	Description	Level of Change
TVCA Adult Education Budget Funding and Performance Rules 2019/2020	This document sets out the TVCA 2019/2020 funding rules to all providers who receive adult education budget for Tees Valley residents. This document details what TVCA will and will not fund from the TVCA AEB in 2019/2020	<p>This policy retains the current 2018/2019 ESFA Funding Rules. The following changes have been incorporated:</p> <ul style="list-style-type: none"> <li>• Addition of reference to TVCA 2019/2020 Strategic Adults Skills Plan, TVCA Strategic Economic Plan and Inspiring Our Future</li> <li>• Removal of reference to apprenticeship and traineeship funding</li> <li>• Removal of detail regarding learners that live in Scotland and Wales</li> <li>• Reference included regarding the Provider Delivery Plan and approval of the plan prior to allocation of funding</li> <li>• Policy now states any increase to subcontracting levels must be approved by TVCA</li> <li>• Detail regarding performance management of providers and direct and subcontracting delivery now included</li> <li>• Reference to role of the Provider Relationship and Performance Management Officer detailed in terms of role, and provider support provided</li> </ul>

Policy Title	Description	Level of Change
		<ul style="list-style-type: none"> <li>• Removal of match funding detail. Policy states TVCA will not utilise AEB funding as matched funding against ESF.</li> <li>• TVCA in-year reconciliation process defined within policy and removal of 3% tolerance</li> </ul>
TVCA Adult Education Budget Funding Rates and Formula 2019/2020	This document sets out the principles and features of the TVCA 2019/2020 Funding System. It details how TVCA will calculate 'formula funded' earnings for the TVCA Adult Education Budget. The documents set out programme weightings to recognise the relative costs of delivering training in different sectors and subject areas	<p>This document has been re-branded from the ESFA 2018/2019 Adult Education Budget Funding Rates and Formula. No significant change to methodology</p> <p>The following changes have been incorporated:</p> <ul style="list-style-type: none"> <li>• Removal of reference to ESFA and inclusion of TVCA</li> <li>• Removal of references to traineeships</li> <li>• Removal of area cost uplifts by region – this is for the south of England only</li> </ul>
Funding Claims and Reconciliation Guide 2019/2020	This document was published online by the ESFA in terms of how to submit a funding claim and when to make a claim. A User Guide is also published.	TVCA are introducing a new process for reconciliation, which is detailed in the TVCA 19/20 Funding and Performance Rules and TVCA Provider Performance Management Framework.
TVCA Provider Performance Management Framework 2019/2020	<p>This is a new policy. This document describes how providers will be assessed, monitored and reviewed during the funding agreement period if the provider successfully receives an allocation for Tees Valley AEB</p> <p>The document details the quality indicators that will be reviewed by TVCA to assess the quality of provision being delivered by the provider including attainment of agreed target outcomes and overall performance. Provider</p>	New document

Policy Title	Description	Level of Change
	<p>performance monitoring and evaluation activities will include Provider Performance Meetings on a quarterly basis. The role of the TVCA Provider Relationship and Performance Management Officer is also defined within this document.</p>	
<p>TVCA Subcontracting Funding and Management Regulations 2019/2020</p>	<p>The purpose of this policy is to detail TVCA's expectations in terms of a provider's management and monitoring of their subcontractors and the subcontracted delivery.</p> <p>This document details the compliance and control regulations all providers must adhere to in relation to the management of their subcontractors and the due diligence requirements for any new subcontractors</p>	<p>This policy is based on the ESFA Subcontracting Funding and Management Regulations 2018/2019. There is minimal change and the approach and concepts remain the same</p> <p>The following items have been incorporated:</p> <ul style="list-style-type: none"> <li>• Reference to the Provider Delivery Plan and approval from TVCA of all subcontracting activity</li> <li>• Reference to the monitoring of subcontracting management fees by TVCA in year one and review of fees at allocation and funding agreement stages</li> </ul>
<p>TVCA Providing External Assurance on Subcontracting Controls 2019/2020</p>	<p>This document provides providers further guidance regarding the annual subcontracting assurance requirements and the additional information required by TVCA to enable robust assurance of subcontracting activity</p> <p>This document details the process providers must follow if their subcontracting value has an aggregate value greater than £100k</p>	<p>This policy is based on the ESFA 2018/2019 Providing External Assurance on Subcontracting Controls. The only change is removal of reference to ESFA and inclusion of TVCA</p>
<p>TVCA Subcontracting for the First Time – Seeking Written</p>	<p>This document details the need and process for providers when engaging with a new subcontractor. The policy defines the process</p>	<p>This policy is based on the ESFA 2018/2019 Subcontracting for the First Time – Seeking Written</p>

Policy Title	Description	Level of Change
Approval from TVCA in 2019/2020	the provider must follow to seek TVCA approval which requires a report from an external auditor	Approval. The only change is removal of reference to ESFA and inclusion of TVCA
TVCA Funding Higher Risk Organisations and Subcontractors 2019/2020	This document identifies the criteria that would prevent an organisation being considered for funding by TVCA in 2019/2020	This policy is based on the ESFA's 2018/19 document. The only change is removal of reference to ESFA and inclusion of TVCA
High Needs Funding Operational Guide 2019/2020	<p>High needs funding is provided to local authorities through the high needs block of the dedicated schools grant (DSG), and local authorities must spend that funding in line with the associated conditions of grant, and School and Early Years Finance (England) Regulations. High needs funding is also provided directly to some institutions by the Education and Skills Funding Agency (ESFA)</p> <p>This guide describes how the ESFA 2018/2019 high needs funding system will work</p>	<p>This element of high needs funding is not included as part of the devolved Adult Education Budget</p> <p>Funding for those learners aged 19 and above who have additional learning needs is incorporated into the Adult Education Budget and the Funding and Performance Rules 2019/20</p>
Post – 16 Audit Code of Practice 2019/2020	This Post-16 Audit Code of Practice sets out a common standard for the provision of assurance in relation to funding of post-16 providers. It sets out the specific assurance framework for sixth form and further education colleges.	This policy will be based directly on the current ESFA Post 16 Audit of practice 2018/2019. Once roles and responsibilities have been agreed with the ESFA this policy can be drafted for approval
2019/2020 TVCA Conditions of Funding Agreement – All	This document sets out the conditions of funding between TVCA and all providers and	This funding agreement is based on the ESFA Conditions of Funding Agreements

Policy Title	Description	Level of Change
Providers (FE Colleges, Authorities, Sixth Forms and Independent Training Providers)	includes the allocation of funds, payment of funds, quality assurance financial control, supply of data and dispute resolution	<p>The following changes have been incorporated:</p> <ul style="list-style-type: none"> <li>• Inclusion of the TVCA in-year reconciliation process and removal of 3% tolerance against provider spend and allocation</li> <li>• Contract duration for one year with an option to extend to a further 12 months dependent on the submission of a Year 2 Intended Delivery Plan that meets the needs of Tees Valley learners and the delivery of positive outcomes for learners in year 1</li> </ul>
Conflicts of Interest	This document sets the potential conflicts of interest that may arise throughout the commissioning of the Adult Education Budget, and how they will be managed.	New Document