



Education
Funding
Agency

Overview of the 16-19 Funding Formula

**Funding full participation and
study programmes for young
people**

June 2013

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Purpose and scope

1. The purpose of this document is to describe the 16-19 National Funding Formula that will be used to calculate revenue allocations for education and training provision, funded by the Education Funding Agency (EFA), for the academic year 2013/14 and beyond.
2. The scope of the formula and this document is all EFA-funded provision for 16-19 year olds and students up to age 25 who have a Learning Difficulty Assessment (LDA) or Education, Health and Care Plan (EHCP). It does not cover Apprenticeships¹, provision funded by the European Social Fund or Youth Contract provision.
3. Following the consultations on study programmes and 16-19 funding formula reforms in July 2012 we published '16-19 Funding formula review - Funding full participation and study programmes for young people'², which set out an outline of a simplified funding system, and a further update in December 2012. This document updates details around the funding formula, and any item where there is a change from the December update is highlighted.
4. The EFA 16-19 Funding Guidance³ includes the definitive rules for funding and will be updated each year.

¹ Detail for funding Apprentices are published by the Skills Funding Agency.

² [16 – 19 Funding Formula Review](#)

³ [Funding Guidance 2013 to 2014](#)

Introduction

5. Our ambition is for a simple, transparent and fair funding system for all 16 to 19 year olds and those up to age 24 if they have a LDA⁴, to support full participation and the implementation of 16-19 study programmes. In October 2011 the DfE and YPLA⁵ launched a consultation⁶ on reform of the funding formula. This document details the changes we are now implementing from the 2013/14 academic year.
6. There are three key drivers for our reforms of the 16-19 funding formula:
 - to support institutions in offering substantial and challenging academic and vocational qualifications and to remove perverse incentives which can lead to students piling up small qualifications and being placed on courses that may be too easy for them, and that don't help them progress into employment or higher education;
 - to provide fair funding to support the participation of all young people in education and training and the introduction of the requirements for a study programme for all institutions; and
 - to provide a simple, efficient and transparent funding system to underpin Raising the Participation Age (RPA).
7. Changing the funding formula to ensure all young people are funded for an appropriate study programme will mean a redistribution of resources as we are bound by a fixed level of funding. Many institutions that currently offer very large programmes – many of them very successful - would lose significant amounts of funding if we moved immediately to the new system.
8. All schools and colleges should use the period of funding protection, the new freedoms the funding reform offers and the introduction of study programmes to review their offer to young people across academic and vocational routes. This period will also allow us to consider the early experience of A level reform, with the first new A levels expected to be available for teaching from September 2014.
9. A ministerial working group (MWG) has been set up to engage in further debate with the sector about whether and how to reflect larger study programmes within the funding per student approach. We will consider the position on any further protection in the light of this debate and in the context of the next spending review. The MWG is made up of representatives of all types of education institution. Institutions should therefore feed their views on larger study programmes into their representative body.

⁴Or an Education, Health and Care Plan

⁵Young People's Learning Agency – which was succeeded by the Education Funding Agency on 1st April 2012

⁶ [16-19 Funding Formula](#)

10. For 2013/14, we will replace the current formula with funding per student. To take account of real variations in costs we will apply a weighting for the higher costs of some subject areas, another for retention of students, plus a single allocation for each institution for disadvantaged students. We will also uplift the whole allocation by an area costs adjustment where applicable.
11. We will then add funding for each institution for those individual students with learning difficulties or disabilities with the highest needs, funding for bursaries, care standards funding and other financial support for students.
12. The phased removal of transitional protection for the policy changes introduced from 2011/12 will continue through to 2014/15.
13. We do not want to destabilise high quality provision. We will therefore protect against redistribution of funds by making sufficient funding available to ensure that no institution loses any funding per student for at least three academic years (until and including 2015/16) due directly to the funding formula changes we are now going to make. This approach will:
 - allow us to implement 16-19 study programme and funding reforms as planned from 2013/14;
 - support institutions to deliver innovative provision, including work experience and Supported Internships to attract those students not currently participating, thereby supporting full participation of 16 and 17 year olds;
 - encourage institutions to start changing their offer by developing new and coherent study programmes (including more substantial vocational qualifications, English and maths where appropriate) without fear of sudden and adverse financial consequences;
 - introduce simplicity for all institutions immediately rather than having a complex series of changes over a number of years; and
 - facilitate data simplification on the same timescale as the review of the Individualised Learner Record (ILR).

Wider Simplification

14. These improvements in the funding system form part of the wider simplification and deregulation we are driving forward to enable institutions to respond to the needs of young people more effectively. The Education Act 2011⁷ increases the freedoms and powers of colleges. We are reducing audit burdens on sixth form colleges and we have removed the detailed information requirements for lower cost additional learning support. With the Skills Funding Agency, we are simplifying the funding agreements and Joint Audit Code of Practice (JACOP) for colleges, and undertaking a fundamental review of the ILR with the Information Authority. We will continue to work with the sector and other partners to minimise administrative burdens and improve the consistency of information requirements across all institution types.
15. From 2013/14 we are moving to funding on a per student basis and will no longer fund each learning aim within a student's programme separately. We will also remove complexity through a number of other measures:
 - a) **Programme Size** - we will fund all full time programmes at a single funding rate and remove the necessity for converting guided learning hours into a Standard Learner Number (SLN);
 - b) **Provider Factor** - we will make the calculation of the allocation easier to understand by removing the provider factor, which was made up of a number of different elements, and will show each of the elements separately;
 - c) **Additional Learning Support (ALS)** - we will remove the two part calculation for ALS, where we use both prior attainment and historical spend for some institutions to arrive at a single allocation for low level ALS, and we will base the calculation across the whole sector on a flat rate rather than a sliding scale;
 - d) **Funding for general and economic disadvantage** - because there is significant overlap between the existing specific categories of students eligible for disadvantage funding and those that qualify by virtue of their postcode, we will remove the existing specific categories of students, with the exception of care leavers. This will reduce the data burden on institutions, who have found it difficult to collect the additional personal data from students;
 - e) **Programme Cost Weightings** - we will reduce the number of programme cost weightings to three above the base rate;

⁷ [The Education Act 2011](#)

- f) **Success Factor** - we will remove the achievement element of the success factor. Professor Wolf⁸ indicated there was a perverse incentive for institutions to enrol students on qualifications they could pass easily, and institutions regard this calculation as difficult to understand due to the difference between the success rate and the success factor, and hard to analyse from their own data due to the weighting of short qualifications;
- g) **Short Course Modifier** - the number of enrolments on courses of short duration will decline as we move to full implementation of RPA. We will remove the short course modifier, which was originally introduced to recognise that there are fixed costs associated with courses of very short duration; and
- h) **Residential Care Standards** - these apply to a small minority of institutions that need to meet the requirements for residential care for young people, such as some land based colleges. We will remove the calculation from the formula and will allocate a cash amount to be shown separately in the allocation, which will make it totally transparent.

16. We have worked with the Information Authority to reduce the data items required to service the formula, and have instigated a major review of how the formula will be evidenced and assured.

17. In December we issued an interim statement on evidence requirements. Full evidential detail is included in 'Funding guidance for young people 2013/14: Funding regulations'⁹ which was published in June 2013. The document includes the evidential requirements institutions should retain for audit purposes. We will publish the funding audit approach for young people for July/August 2013, the document will detail the funding audit methodology to be adopted by the External Assurance Team and other auditors undertaking funding audits of young peoples' funding from 2013/14.

⁸ [Review of Vocational Education – The Wolf Report](#)

⁹ [Funding Guidance 2013 to 2014](#)

1. Principles for funding from 2013/14

18. From the academic year 2013/14, funding for young people aged 16-19 and up to 24 for students with a LDA or EHCP will be calculated based on the following principles:

- All full time students will be funded at the same **basic funding rate per student, per academic year** regardless of which type of institution and what they study. This will fund a full study programme for all students¹⁰;
- Initially part time students will be funded based on four bands depending on the number of teaching hours for which they enrol¹¹;
- A **retention factor** will reduce funding if the student is not retained until the end of the study programme for the academic year;
- This basic funding rate will be enhanced by a **programme cost weighting** to reflect the necessary additional costs of delivery for those courses that are proven to be more expensive to deliver, because of, for example, staffing and equipment needs;
- **A single disadvantage and learning difficulty and/or disabilities allocation** will be calculated using two criteria:
 - the additional costs of engaging, recruiting and retaining **economically disadvantaged young people** will continue to be recognised on a sliding scale based on the Index of Multiple Deprivation (IMD);
 - the costs of **additional learning support** (ALS) including for young people with low level needs related to learning difficulty or disability will be allocated based on the number of students who had not achieved a GCSE grade C in maths and/or English by the end of year 11¹²;
- An **area cost allowance** will be funded for those areas where it is proven that the costs of delivery are higher than other areas on the same basis as it is now. For simplicity the uplift will apply to all the elements of the formula including, for the first time, ALS;
- The **current transitional protection** against the reduction in entitlement funding and achievement of fair funding will continue as previously published until and including 2014/15;
- In addition **Formula Protection Funding** (FPF) will be paid for at least three academic years until and including 2015/16, where the move to a basic

¹⁰ This excludes Apprenticeships, but applies to all other EFA provision for students who are 16-19 years old and up to 24 years old for learners with learning difficulties and/or disabilities.

¹¹ We expect the pattern of part time learning to change in line with the requirements for full participation. Part time study programmes will remain, but the pattern of take up may change. We will keep this area under review;

¹² The additional £100 million ALS funding currently paid outside the formula will be integrated into programme funding.

funding rate per student would otherwise result in a reduction in funding per student. This will protect good quality provision;

- A phased implementation of **conditions of funding** will begin to allow institutions time to change their provision to deliver English and maths to all students who have not gained a GCSE Grade C in these subjects.

2. Overview of the funding system

A simple funding formula

19. In this section we describe how each of the elements of the new formula will be calculated and how the overall system will operate.

Programme funding

Student numbers

20. We will continue to calculate the number of students we fund through the lagged number approach. This approach is based on the number of students participating in the previous year, increased to represent a full 12 months delivery where necessary.

21. Student numbers are based on data for:

- school and academy sixth forms, taken directly from the autumn school census;
- further education colleges, sixth form colleges and other FE institutions, taken from the autumn ILR return and then updated, where appropriate, to a full year figure by taking into account later starts from the previous year;
- Commercial and charitable providers (CCPs)¹³ taken from the February ILR return and calculated to include all students that have been in learning over the previous 12 months (1 February to 31 January); and
- some other small FE institutions, where neither of the above approaches is appropriate, taken from the total number of students in learning for the previous full academic year.

22. Exceptions to the lagged approach will be rare but include, for example: infrastructure changes (new institutions/mergers/closures), where insufficient improvement is in hand and redistribution of provision is in the best interest of students, agreed by all parties in consultation with local authorities (LAs).¹⁴

¹³ Charitable and commercial providers who are funded under a contract rather than a grant funding agreement

¹⁴ As set out in guidance to local authorities - [Guidance for local authorities - Funding 16-19 education and training](#)

23. We will apply the same eligibility criteria for students that we apply currently. Full details for student eligibility are included in the EFA funding guidance.¹⁵

24. RPA will mean that the majority of students aged 16 and 17, will in future, be full time or studying at least 280 hours alongside full time employment or volunteering, with a reducing number of other part time students. From 2013, all 16 year olds (and from 2015 17 year olds) will be required to participate in education or training in line with the requirements of RPA.¹⁶

Full time students

25. All full time students¹⁷ will need to attend for a qualifying period to be eligible for funding each year. This will remain unchanged at six weeks attendance.¹⁸ A student will qualify for only one full time programme per year with any one institution, and will not qualify for additional part time funding.

Table 1 - Qualifying period for funding eligibility

Programmes greater than 24 weeks	6 weeks
Programmes less than 24 weeks	2 weeks
Programmes less than 2 weeks	Not funded

26. Students who move between institutions during the year will be treated appropriately according to the amount of time spent with each institution in each year. For example a student who enrolls at institution 1, stays until after the qualifying period, leaves before the planned end date and is not recorded as completed will attract 50% funding through the retention element of the formula. During the same academic year the student then enrolls at institution 2 and is treated as part time, so attracts the part time rate for the appropriate band provided they stay past the qualifying period.

27. Students whose planned hours in the year are recorded as 540 or more will be treated as full time for funding purposes. Learning aims that are dropped prior to the qualifying period should not be counted towards the full time threshold. Students that continue in learning beyond their planned end date will not attract further funding for the same study programme in any subsequent year.

¹⁵ [Funding Guidance 2012 to 2013](#)

¹⁶ [Useful Information – what does raising the participation age mean for me?](#)

¹⁷ Full time as set out in [RPA Regulations](#)

¹⁸ [EFA funding guidance](#) 2012 to 13.

Re-sits and re-takes

28. Many learning programmes are designed to enable students to re-sit or re-take examinations and assessments. These are not generally eligible for funding as the activity has already been funded.
29. In 2013/14, as a transitional measure, we will fund individual students who re-take qualifications. Subsequently re-takes will not generally be eligible for funding, but where there are exceptional circumstances outside the control of the student or institution, such as a period of long term sickness, or good educational reasons then the re-take delivery hours for individual students may be included in the funded study programme hours.
30. Where a student fails to complete a learning aim in the expected time span and stays on for additional time, including revision sessions or re-sits, no further funding should be recorded.
31. Qualifications leading to a GCSE grade A*-C in English and/or maths where the student has not yet achieved a grade C in these subjects are not treated as retakes for funding purposes and are therefore fundable.
32. See table at [Annex A](#), which provides a guide for various scenarios and how they are funded.
33. Planned hours are those that are timetabled, organised and/or supervised by the institution, and take place in line with the institution's normal working pattern to deliver the study programme, and can include the following:
- a. Planned tutor led activity on qualification bearing courses for the student in the academic year;
 - b. Planned hours of tutorials, work experience or supported internship for the student in the academic year, and planned hours on other activities that are organised and provided by the institution, such as sport or volunteering for the student in the academic year.

Part time students

34. As we progress towards full implementation of RPA, we expect a cluster of students at around 280 hours and the number of other part time students to reduce. In order to simplify the funding for part time students, we will no longer fund programmes less than two weeks in duration. The qualifying period will be set at six weeks for programmes of more than 24 weeks and two weeks for all part time students whose programme is due to take less than 24 weeks.

35. Any student whose programme does not meet the full time criteria within the academic year must be recorded as part time. This includes students whose programme crosses two academic years but is not full time within either year.
36. We consulted with our external technical advisory group to determine the definition of part time bands. The following have been agreed as fitting common programme sizes. There will be three part time bands for those whose planned hours are greater than 280 hours (RPA minimum). There will be a fourth band covering those students studying for less than 280 hours. Because of the wide range of part-time and part-year students currently in this band, provision in this lowest band only will initially be funded directly in line with the planned hours for each student. We will aggregate the number of hours for each student and divide by 600 to calculate the number of full-time equivalents (FTE) that will be funded at the full time rate.
37. We will review this approach over time as the number of part-time students decreases.
38. Full time students will not be eligible for part time funding at a different institution if enrolled at more than one institution at the same time, in the same academic year.

Table 2 Part time bands and the number of hours used to calculate funding

Student status	Hours required per year	Funded at
Full time	540 +	600
Band 4	450-539	495/600
Band 3	360-449	405
Band 2	280-359	320
Band 1	up to 280	% of 600

39. As an interim measure students that were categorised as full time (450 guided learning hours (glh)) in the data collected prior to the introduction of study programmes and RPA, will be funded at the full time rate in allocations for both 2013/14 and 2014/15. Following this, institutions should be clear that students that are recorded in the 450-540 band in 2013/14 will, from 2015/16 only attract part time funding.

What hours will count towards a student's programme?

Total hours

40. Hours that will count towards the study programme will be categorised as either qualification or non-qualification hours (Planned Employment, Enrichment and Pastoral Hours). A change to the ILR and the school census has been approved to collect this information from 2013/14 (ILR) and 2014 (Census).
41. To count for funding purposes, planned hours that make up a coherent study programme must be timetabled, organised and/or supervised by the institution and within that institution's normal working pattern. This could include weekends if that provision is organised and/or supervised by the institution.
42. The number of hours of study within individual students' study programmes will vary depending on the programme pursued and the funding available but must be at least 540 hours per year to qualify for the full time per student payment and meet RPA requirements for 16 year olds from 2013.
43. We have set the full time rate at equivalent to 600 hours because that is an average rate for a substantial full time programme. The aim is that all young people should study this number of hours.
44. For example: a student could do 660 hours in Year 12 and 540 in Year 13, or 4 AS plus 60 hours in year 12 and 3 A2 plus 90 hours in year 13 – so slightly more additional non-qualification activities in year 2.
45. Planned hours will not usually be changed during the year. However, when a student progresses to further subsequent learning in the same year, under the following circumstances, the planned hours recorded on the ILR may require changing to reflect the total hours that are planned for the student.
 - a. When a student progresses from a traineeship into another FE study programme, or
 - b. When a student, having completed their core aim, progresses to take a second core aim and therefore commences a new study programme.

Qualification hours

46. In 2013/14 for 16 year olds that are in full time employment and required to study for 280 hours, both qualification and non-qualification hours will be funded. However only qualification hours will count towards the RPA minimum. This will apply to 17 year olds from 2015.
47. For funding purposes only qualifications approved for teaching to 16-19 year olds under section 96 of the Learning and Skills Act 2000 (s96), or any alternative list which may be published by DfE in the future, can be included within a study

programme as qualification activity. However a more restricted number of qualifications may be reported in annual performance tables¹⁹.

48. For those students capable of studying and achieving qualifications and for whom a substantial qualification is the most appropriate route to their career goal, A levels or substantial vocational qualifications should consist of at least half of the study programme time. In most cases these qualifications will be at a level above the student's prior achievement. Qualifications should be taken that are one A level in size or larger and should make up at least 50% of the programme time. For students who are not yet ready to study and achieve substantial vocational and/or academic qualifications, this element of the study programme may consist of substantial work experience and English and maths at level 2 if they have still to achieve these qualifications. DfE will publish a list of high value level 3 vocational qualifications that will count in the 2016 performance tables in November 2013.

Other hours

49. Other activity, such as the Duke of Edinburgh Award, that might lead to an award rather than a formal qualification and as a result is not listed on s96 will not count towards qualification hours, but can count towards non-qualification hours.
50. Most students will benefit from either work experience **or** other work-related learning or activities. It helps students with their subject choice and destination planning; it can motivate and raise ambition and for some students enables them to secure experience, job-related or specialist skills of direct benefit to their future employment or study goals.
51. The type of work experience a student needs will vary widely, institutions, in discussion with the student will need to assess what type of work experience and work related activity is most suitable for them given their career aspirations.
52. For some students a significantly high percentage of work experience may be appropriate. This activity must be planned, timetabled, organised and/or supervised by the institution.
53. Study programmes for students who do not take a substantial qualification would be expected to include substantial work experience and maths and English. In these programmes, which are of equal merit to those study programmes built around qualifications, English, maths and work experience should form the majority of the programme time together with non-accredited employment-related activity.
54. Students with learning difficulties and disabilities who do not take a substantial qualification should have stretching learning goals set, including some form of English

¹⁹ [Section 96 Data](#)

and maths training, which may not be a qualification, such as budgeting. Work experience should play a key component of the study programme where possible and other provision that supports enabling young people to make a successful transition to adulthood can be included, for example, independent living skills. Non qualification activity can be a range of things and institutions have considerable autonomy in planning this.

55. Supported Internships are available for students with a Statutory LDA or, in the future, an EHC Plan who need a higher level of support in order to access employment (for young people with LDAs/EHC Plans who are able to manage a work placement with some support traineeships are available).

56. Alongside their studies, many students will also look for work experience opportunities independently, or take part time jobs. In such cases this independent work experience or part time work would not be funded as part of the study programmes.

57. The core content of traineeships or internships will be a high quality work placement, work preparation training and English and maths, where the core aim of the programme must be work experience.

58. **Personal and social development** activity is included as part of the non-qualification activity provided it is planned, timetabled, organised and/or supervised.

59. **Any virtual learning** element of the study programme should be planned, timetabled and organised by the institution. This does not include homework or independent study/research that is not timetabled.

60. For funding purposes, work experience must be organised and demonstrably reflect the above criteria. Saturday jobs arranged independently by the student will not count as the work experience element of study programmes.

61. Where students are allowed time away from the institution's premises to revise and prepare for exams this must also meet the criteria of being planned, explicit in the student's timetable, and supervised and/or organised by a member of staff. For example this could include the completion of structured revision or practice papers that are marked by the member of staff and who provides feedback.

62. All forms of work experience will be identified in data returns as one of 6 work experience learning aims to indicate the size of the work experience.

0-41	42-126	127-167	168-252	253-336	337+
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63. The total planned hours for work experience should be included in the planned hours for non-qualification activity unless the work experience is an integrated part of the qualification, in which case it is recorded as qualification hours.

64. **Voluntary extracurricular activities** and clubs that operate during breaks or outside the institution's normal working day would not be included as part of the study programme.

Compressed delivery

65. In some cases, where this best meets the assessed needs of the students and/or is strictly necessary to prepare them for their progression outcome, institutions will plan compressed programmes to allow students to complete a significant number of hours in a short period of time. These programmes will be funded at the standard funding rates based on the planned hours.

66. We would expect such compressed delivery to lead to excellent results, as demonstrated through qualification success rates and positive destinations. We would not expect this to lead to a student being funded for more than one full-time programme in an academic year. We will monitor the delivery and value for money of compressed programmes during 2013/14 and will decide whether to apply a funding cap to such provision in future accordingly.

Summary

The EFA will count towards the definition of funded time planned hours that meet the following principles:

General Principles – Hours that:

- are directly relevant to the student's study programme; and
- are **planned**, explicit in the **student's learning plan or timetable**, **supervised** and/or **organised** by a member of staff; and
- take place normally within the institution's normal working pattern - including twilight evening sessions provided they meet the other principles.

Qualification hours- Hours that:

- are approved for teaching to 16-19 year olds under section 96 of the Learning and Skills Act 2000 (s96), (qualifications that are NOT approved under s96 CANNOT be taught in schools). *

Non-qualification hours- Hours that:

- do not count towards a qualification counted above; and
- are delivered towards informal certificates or other non-qualification activity (including activity to give young people the skills they need to live more independently and be integrated within their community); or
- are for tutorial purpose; or
- are spent on work experience, other work-related activities, volunteering and/or community activities or enrichment activities organised and quality assured by or on behalf of the institution whether paid or not, including activity such as the Duke of Edinburgh Award that might lead to an award but is not listed on s96

For clarity – the following are examples of activities that are not funded:

- voluntary extra-curricular activities and clubs delivered during breaks or outside the normal working pattern;
- study that is homework or independent study/research that is not timetabled;
- time spent in employment and or work experience organised by anyone other than by or on behalf of the organisation;
- time spent on volunteering and/or community activities that are not organised by or on behalf of the institution.

* **NOTE from September 2013 a list of approved level 3 qualifications will be published for inclusion in school performance tables. Schools should take note of this.**

National funding rate per student

67. It is our intention that funding rates will be set annually and announced in the EFA's 16-19 Funding Statement in the spring each year.

National funding rate per full time student

68. We are introducing a single basic funding rate per full time student per year regardless of where and what they study²⁰, as described in paragraph 12 of *study programmes for 16-19 year olds: Government response to consultation*²¹. This will fund, on average, a programme of study for around 600 learning hours for all students. Institutions will have the flexibility to offer non-qualification based activity as part of their programmes, including work experience. The basic funding rate per student will be expressed in cash terms.

Funding rate for part time students

69. We will fund all part time students based on the four part time bands, described in paragraphs 34-38, calculated from the **planned** hours for the academic year. For the first three bands the rate will be determined as the mid-point of the band, and as a proportion of the full time rate, as shown in table 2.

70. For each programme in the lowest part time band, up to 280 hours, the funding rate will be proportionate to the full time rate. For example, a programme of 250 hours will be calculated as: full time funding rate per student divided by 600 and multiplied by 250.

Programme type

Determining an academic programme

71. Academic programmes are determined by the type and size of qualifications studied.

72. For those programmes that include a combination of vocational and academic qualifications, we will determine whether it is an academic programme by deciding which academic or vocational qualifications make up the majority of the programme. General Studies and Critical Thinking A levels will not count in this calculation.

73. From 2013 data changes will allow institutions to indicate which of the qualifications is the core aim. The core aim will then determine whether the programme is academic or vocational.

²⁰ Excluding Apprenticeships

²¹ [Study programmes for 16-19 year olds – Government response to consultation and plans for implementation](#)

The retention factor

74. The current use of qualification success rates as an integral part of the funding formula may act as a perverse incentive. It can encourage institutions to place young people on programmes that are too easy in order to protect institution success rates and thereby avoid a reduction in funding in a subsequent year.
75. The new arrangements from 2013/14 will provide funding on a per student basis and study programmes will often include non-qualification bearing and work experience elements. Applying success rates at student and at programme level would be complex and burdensome to institutions. We have therefore removed the achievement element, and will keep a retention element, which will be applied at student level and not at qualification level and will be calculated against a core aim.
76. Each student that remains in learning to the planned end of their programme and is recorded as completed or continuing will attract full funding.
77. We know that typically students that leave before the end of their programme without achieving leave around the mid-point of their programme. Therefore those students that leave before the planned end date of their programme, and are not recorded as having completed, will attract half the funding.
78. If the student remains in learning to the planned end date of the core aim they will be classified as being retained. If they are recorded as completed even where they leave the core aim early they will also be classified as retained and therefore attract full funding.
79. We will expect that where a student leaves early and is recorded as completed, evidence will be retained to demonstrate that the student has completed all the learning activity.
80. The approach for retention differs depending on whether the programme is academic or vocational.

For academic programmes

81. Any of the A levels a student commences can be identified as the core aim except General Studies and Critical Thinking A levels. The student is categorised as retained if they complete any of the A levels. General Studies and Critical Thinking A levels will not count towards a core aim and therefore do not feature in the calculation of retention.
82. A levels should consist of at least half of the study programme of all students able to study for these qualifications. In most cases these qualifications will be at a level above the student's prior achievement. Qualifications should be taken that are one A level in size or larger and make up at least 50% of the programme time. Therefore smaller qualifications do not feature in the calculation of retention.

For Vocational and mixed Academic and Vocational Programmes

83. The student is categorised as retained if they are still engaged in learning against the core aim by the planned end date, or are recorded as completed, if they leave early. Where a student transfers to an alternative substantial aim, the aim onto which they transfer can be identified as the core aim.

84. Retention will be applied to the core aim. Therefore, where non qualification activity is identified as the core aim, retention will apply against that activity. The question will be has the young person completed the activity they set out to do?

For programmes where the core aim is work experience including Traineeships and Supported Internships

85. For programmes where the core aim is work experience including traineeships and supported internships where the student achieves an early progression either into sustainable employment, full time education, other training or an Apprenticeship, the institution should treat the student as completed on their data return so that the student is treated as retained for funding purposes.

86. For this calculation to be robust there is a need to change data collection requirements for both the ILR and School Census. Changes to both the ILR and the School Census have been approved, for the ILR from 2013, although the timing for change to the Census will not be until autumn 2014.

87. Where a student progresses within an institution, the maximum of 600 hours funding is applied automatically and no student will be funded above this level. Where a student moves onto a new institution, the level of funding depends on the number of hours the second institution will provide for the remainder of the academic year. In general, we would expect this second programme to be less than a full time full year programme. We would, therefore, expect to fund it in one of the part time bands.

88. **Table 3** demonstrates how retention would work for programmes that cross two academic years and against four scenarios.

Table 3 Retention for programmes that cross academic years

Year	Student's retention point	Student							
		1		2		3		4	
		Retained	Funding Received	Retained	Funding Received	Retained	Funding Received	Retained	Funding Received
1	Qualifying period	Yes	100%	Yes	100%	Yes	100%	Yes	50%
	End of year	Yes		Yes		Yes		No	
2	Qualifying period	Yes	100%	Yes	50%	No	0	No	0
	End of year	Yes		No		No		No	

89. Students that withdraw from part of their study programme should make up the time with other meaningful activity, either qualification or non-qualification hours.

Programme cost weightings

90. One of the principles recommended in the Wolf review is that funding should be related to the cost of delivery²². As an example of the variation needed by subject area, the review gives the example of engineering being paid at a higher rate than business administration.

91. The application of programme cost weightings in the current funding formula has general support from the sector but it has become overly complicated. The main causes of complexity are that weightings are set at qualification level, and that there are too many different weightings in use.

92. To reinforce simplification, without losing the principle that funding should reflect the cost of programmes that are more expensive to provide, we will apply weightings at programme rather than at qualification level and reduce the number of weightings to three above the base funding rate per student.

93. All academic and some vocational programmes will be funded at the base rate. In addition there will be three weightings set at 20%, 30%, and 60% above the new base rate. The base rate would include for example ICT user, business administration and

²² [Review of vocational education – The Wolf Report](#)

travel and tourism, the medium weighting (20%); construction, and catering and the high weighting (30%); engineering, non- specialist agriculture and animal care. The specialist weighting (60%) would apply where there is a requirement to run specialist facilities such as a farm or equine stables.

94. These weightings have been calculated based on the average weightings of the programmes currently undertaken by young people in each subject area using the current programme weightings. These have then been rebased so that the lowest, base weighting becomes 1.0, and the other weightings have been reduced accordingly. This rebasing will have a corresponding impact on the national funding rate. **Table 4** below shows the new rebased provisional programme cost weightings.

95. Following shadow allocations, an initial review of programme cost weightings was conducted and any changes were communicated through the January student number statement, and implemented in the 2013/14 academic year allocation. A wider review of programme cost weightings is being conducted during the 2013/14 academic year. Any changes to programme cost weighting as a result of the review will be communicated in autumn 2013 and implemented in the 2014/15 academic year allocation.

Table 4 Weightings for 2013/14

Weighting Category	Weightings for 2013/14
Base	1.0
Medium	1.2
High	1.3
Specialist	1.6

96. The programme cost weighting for vocational programmes will be determined by the sector subject area classification of the core aim, which will initially be based on the single largest element of the student’s programme. From 2013 institutions that complete the ILR will be asked to specify the core aim in their data return.

97. Those institutions that submit the School Census will have to identify the core aim in the census for 2014. Where the programme is predominantly academic there will be no requirement to identify a core aim.

Funding disadvantaged students and those with low cost learning difficulties and disabilities (LDD)

The single disadvantage fund

98. There will be a single disadvantage fund calculated in two blocks.

Block one - Economic deprivation Funding (EdF)

99. This was previously known as disadvantage uplift and paid through the provider factor. It will now be shown separately in the formula and will provide additional funds to recognise the additional costs associated with engaging, recruiting and retaining young people from disadvantaged backgrounds. It will continue to be paid on a sliding scale using a percentage range of between 8.4% and 33.6% depending on the degree of deprivation, which will be based on the student's home postcode as it is now. This percentage will be multiplied by the programme funding, including retention and programme cost weighting elements, to give block 1 of the disadvantage funding.
100. Using the Index of Multiple Deprivation as the measure of disadvantage has ensured that no further volatility has been created within the sector at this time when applied in combination with other changes.
101. In addition young people in or having recently left care will generate for the institution a flat rate payment. The rationale for sole eligibility of this specific additional category of young people is that evidence suggests care leavers have the worse achievement rate of all groups, and therefore are most likely not to complete pre-16 or post-16 education/training or achieve GCSE grade C, due to their personal circumstances.
102. Management Information data will be used for this additional category of care leavers in 2013/14. We have agreed a change to the ILR and requested a change to the School Census to capture this information from 2013/14 for the ILR and 2014 for the census.

Block two – Support needs for progression

103. From 2013/14, we will be allocating funding for prior attainment at a flat rate based on prior attainment in GCSE English and maths. This is because there is a strong inverse correlation between attainment in maths and English at 16 and the support needed to achieve and progress post-16. Current funding of ALS is mapped against a student's GCSE point score across all grades; this does not support the new policy direction for 2013/14. This new policy will support all students without maths and English at grade C or above to achieve and progress in their study programme.
104. Therefore, this section of funding has been refined to target funds to any student who meets the eligibility criteria of not having prior attainment of GCSE A*-C in either maths and/or English. This funding will support young people who have not achieved in these subjects and those with low level additional learning support needs.
105. A student with a GCSE grade C in only one of English or maths at the end of year 11 will attract a set flat rate payment. Someone without both will attract double the amount, directly contributing to the additional support they need to reach their full potential.

106. This amount will replace all previous forms of low cost ALS, including the amount of ALS that has been paid to FE based on historical spend and the additional ALS paid in 2010/11 and 2011/12. This will significantly simplify the system and improve targeting of the funds. **Table 5** illustrates the additional funding that would be allocated for students without a grade C in maths or English.

Table 5 Block 2 payment for students that do not have a grade C in English and/or maths (example based on funding rates for 13/14)

Example	English below GCSE A*-C	Maths below GCSE A*-C	Block two payments attracted per student
Student 1	Yes		£480
Student 2		Yes	£480
Student 3	Yes	Yes	£960

107. Students on part time study programmes will attract an amount proportionate to the full time rate. There will be 3 rates for Block 2. Students in band 4 will attract the full time rate, students in bands 2 and 3 will attract a part time rate calculated by the mid-point of the hours of the two bands, and the rate for students in the lowest part time band will be calculated as a pro rata of the full time rate.

Table 6 Block 2 rates attracted by part-time students

Student Status	Funding attracted
Full time and Band 4	£480
Bands 2 and 3	£292
Band 1	pro rata of FTE rate

Disadvantage fund allocations

108. We will establish a minimum allocation for the single disadvantage fund. Institutions whose data indicates an allocation below this minimum will receive the minimum allocation.

109. The two blocks will be shown on the allocation statement individually but will be paid to the institution as a single budget on profile. Institutions will be expected to use the disadvantage funding to meet the additional costs of attracting and supporting economically disadvantaged students, including those in or recently left

care. They will also be expected to provide additional learning support to students, including all those with low cost additional support needs related to a learning difficulty or disability, to achieve their main learning goals.

110. The funds will not be ring fenced so institutions will be free to determine how best to target and deploy disadvantage funding to support participation and achievement.

Area cost allowance

111. We will continue to provide an additional uplift to institutions in those areas in London and the South East and parts of the East where it is proven that the costs of delivery are higher than other areas, on the same basis as it is now. Details of the current methodology can be found in the EFA funding guidance²³. For simplification from 2013/14, the area cost allowance will apply to all aspects of the participation formula, including the single disadvantage fund, but excluding additional education support funding for high needs students.

Protecting funding changes

Transitional protection for policy changes made in 2011/12

112. The current transitional protection (TP) for the reduction in entitlement funding and achievement of fair funding will continue to be reduced by 3% of the historical funding per student per year or in 4 equal instalments, whichever is the greater until 2014/15. For clarity, this protection ceases in 2014/15 and none will be paid in 2015/16.
113. TP is unaffected by the new formula for 2013/14 and will be shown as a separate line on the funding statement.

Protecting the change to funding per student

114. In the 16-19 Funding Formula Review Consultation we stated that protection would be used to moderate the impact of the funding formula changes in order for institutions to manage and plan for the change to study programmes.
115. We consulted on different options and have determined that any losses in funding per student as a result of these funding formula changes will be protected for at least three years (2013/14, 2014/15, and 2015/16 academic years).
116. There are a lot of curriculum developments over the next three years (e.g. a review of A levels and all recommendations that will be made by the Ministerial Working Group) and these will affect funding from 2015/16 onwards. Ministers will need to decide what happens after that.
117. For grant based institutions 2013/14 protection will be calculated by comparing funding per student allocated for 2012/13 (including low level ALS, but excluding high level ALS and transitional protection from changes introduced in 2011/12) with funding per student calculated on the method described in this document, including disadvantage funding. FPF will be allocated for those institutions where this would

²³ [EFA 16 to 19 funding guidance 2011/12](#)

result in a reduction in funding per student. Depending on affordability, we may also cap increases.

Calculation of FPF for commercial and charitable providers

118. For CCPs funded under contract, FPF has been calculated using historical data on actual delivery from 2011/12. This data was used in preference to the allocation for 2012/13 academic year because CCP allocations for 2012/13 academic year, unlike those for any other institution types, included additional funds for planned growth in programme size. CCPs are subject to reconciliation and hence these funds would be reclaimed where providers did not deliver the growth allocated.
119. This ensures that the FPF is related to the changes in the formula, and not to differences between actual and planned delivery.
120. Other institution types had FPF calculated on a lagged allocation for 2012/13 academic year i.e. using historic data on actual delivery from the 2010/11 academic year.

14-16 Year olds in FE colleges

121. From September 2013 general further education and Sixth Form colleges will be able to recruit directly full time 14 and 15 year olds onto their rolls.
122. This change follows the recommendation of the Wolf Review to give opportunity for full time 14-16 year olds to enrol directly with FE colleges, and for the funding to make this practicably possible. Colleges should offer a programme of study that delivers the mandatory requirements of Key Stage 4 (KS4) national curriculum.
123. FE colleges and sixth form colleges with an Ofsted rating of “Good” or “Outstanding” and those with “Satisfactory” pre-September 2012, which have made significant improvement in the last 4 years will be eligible to enrol full time 14-16 year olds and deliver KS4 education within their institution directly. They will no longer need to enter into an arrangement with schools or local authorities to transfer funding for these students, although existing arrangements may continue if appropriate.
124. FE colleges and sixth form colleges with an Ofsted rating of 3 “requires improvement” post-September 2012 will not be eligible to enrol direct and receive EFA funding for full time 14-16 year olds.
125. These entry requirements are not applicable to FE colleges and Sixth Form colleges who intend to or engage with 14-16 year olds who are classified as being home educated.
126. The funding methodology to be used is that described in this document. This is the most transparent and simplest way in which to give colleges stability in funding for forecasting budgets by using a constant level of funding across both 14-16 and 16-19 year olds. **Table 7** below illustrates how post-16 funding will be applied to 14-16 funding.

Table 7 How the post-16 formula will be applied to 14-16 year olds in FE

Post-16	14-16
Student Numbers	Based on full-time as post-16
National Funding Rate	Same as post-16
Retention Factor	There is no retention factor in pre-16; so a factor of one will be used
Programme Cost Weighting	An uplift of 4% to recognise the technical element
Disadvantage	Block one: uses IMD based on pupils home postcode as post-16 Block two: all those who attract funding for IMD will get this payment
Area Cost Allowance	As post-16

127. In addition to the total programme funding above, those pupils who qualify for the Pupil Premium will attract the additional entitlement payment of a Pupil Premium to make the total funding amount. This means;
- a. those who qualify for free school meals (FSM), a service child; and
 - b. those who are in care.

Traineeships

128. For funding purposes a traineeship programme adheres to the same principles as any other 16-19 study programme.

129. Traineeships are programmes that last up to six months. Usually programmes of this length would not be considered full time. Please refer to paragraph 65 for guidance about compressed delivery.

130. When a student progresses from a traineeship to another 16 to 19 study programme, the second programme must have a new core aim of its own. The planned hours must also be updated to include the additional activity planned for the year.

131. The framework for delivery of traineeships is available from the DfE website²⁴.

²⁴ [Traineeships on DfE website](#)

Supported Internships

132. Supported Internships are available for students with a Statutory Learning Difficulty Assessment (LDA) or, in the future, an Education, Health and Care (EHC) Plan who need a higher level of support in order to be able to access employment. (For young people and young people with LDAs/EHC Plans who are able to manage a work placement with some support, traineeships are available).
133. A Supported Internship provides a structured study programme, based primarily with an employer, tailored to the individual needs of the young person. It will equip them with the skills they need for the workplace and is most suitable for them given their career aspirations. Supported Internships are study programmes built around a real job that meets a specific business need. Both the young person and the employer will receive high quality, professional support during the internship.
134. Supported Internship guidance is due to be published in July 2013 but in the meantime a good source of information is the Preparing for Adulthood website²⁵ along with a Supported Internship Factsheet.²⁶

High Needs Students (those that have support needs in excess of £6,000)

135. From 2013/14, there will be new arrangements to fund education provision for students who have high needs. These arrangements will apply to high needs students in FE institutions, independent specialist providers (ISPs), or school and academy sixth forms of all types, and will be broadly equivalent to pre-16 high needs funding arrangements. Our aim is to create funding arrangements that support the single approach to assessment, funding and provision from birth to age 25 set out in the Green Paper on Special Educational Needs and disability²⁷. These new arrangements were announced in March in *School funding reform: Next steps towards a fairer system*.²⁸
136. Under these new high needs funding arrangements, students who require more than £6,000 of additional education support will be treated as high needs students. By 'additional education support', we mean the support an individual student needs in order to access and achieve their course of study, over and above the core programme costs of that course. Our principle is that, where students have health and social care needs, the appropriate support should be provided by the appropriate agencies. Funding for high needs students will be treated in three parts:
- **Element 1 - core education funding** – funding calculated in line with the national post-16 funding formula described in this document and paid by the EFA;

²⁵ [Preparing for Adulthood website](#)

²⁶ [Preparing for Adulthood Factsheet 1: Supported Internships](#)

²⁷ [Support and aspiration: A new approach to special educational needs and disability - A consultation](#)

²⁸ [School funding reform: next steps towards a fairer system](#)

- **Element 2 - additional education support funding** – an allocation of £6,000 per high needs student, based on the number of high needs students that LAs plan to place with each institution for the full academic year. This aspect of the allocation will be identified separately in an institution’s allocation and will also be paid by the EFA; and
- **Element 3 - top-up funding** – funding above the first two elements will be provided on a per-student basis by the LA that has responsibility for the student. This will be based on the student’s assessed needs, agreed between the LA and the institution, and paid in, or close to, the real-time movement of the student by the LA.

137. These arrangements will replace the current funding system, including the high-level ALS, the post-16 Special Educational Needs (SEN) Block Grant and Learners with Learning Difficulties and Disabilities (LDD) and placement budgets. There will be a transfer of funds from EFA to LAs in respect of the top-up funding. Under these new arrangements, institutions will deal directly with commissioning LAs when discussing provision, expected outcomes and funding for young people who require additional education support costing more than £6,000.

138. Each LA needs to plan how it will deliver this role effectively. Institutions that provide for high needs students need to prepare for this change in the funding system, and should be liaising with any LA likely to place students with them.

139. **Element 1** – core education funding will be based on the number of students enrolled and included in autumn data collections (as described in paragraph 20) and the national funding formula as described in this section.

140. **Element 2** – additional education support funding will be based on the number of high needs places the EFA agrees with each LA, to place with each institution.

141. **Element 3** – top-up funding available above the first two elements which is provided on a per-student basis by the LA that has responsibility for the student. The top-up funding is paid to LAs through a contribution to the post 16 element of the high needs block of the dedicated school grant (DSG).

142. For LAs it is recognised that the new funding reforms needed to create budgets in line with the new system need points of review, at appropriate points of delivery, to ensure that anomalies in the funding methodology are not being created. Consequently, opportunities to request review points have been built into the new delivery model.

143. A review exercise took place between January and March 2013 that enabled LAs to review their planned student numbers submitted to the EFA, and for the EFA to consider data that was not available in December 2012 when the original DSG was calculated and published.

144. The changes following this exercise resulted in revised values of DSG. As a result the revised values of the DSG (both pre and post 16 elements) were published in May 2013.

Care Standards Funding

145. The Care Standards Act 2000, and related regulations in 2002, placed further responsibilities on institutions offering residential accommodation for students under the age of 18.
146. Higher costs are associated with complying with the Care Standards regulations. These extra costs apply to young people aged under 18 who are living away from home and where the college is considered in loco parentis.
147. Institutions registered with Ofsted for inspection under the Care Standards regulations will be eligible for an additional uplift. This will be calculated based on a figure for each student, plus a figure for the institution and will apply to those registered institutions with a minimum of 12 EFA-funded students in 'residential accommodation on campus' recorded in the ILR.

Funding conditions on provision of English and mathematics

148. English and maths at GCSE are essential qualifications for further or higher education and employment. Students who have not achieved an A*-C in these subjects by age 16 will be expected to continue to study towards achieving them as a part of their 16-19 study programme.
149. To support this aim the teaching of English and maths qualifications will become a condition of funding with effect from September 2014.
150. The condition of funding will be met if students are enrolled to take one of the following qualifications in the subjects they do not already hold at GCSE A*-C level:
 - a. GCSE or i-GCSE (including I1/Level 2 certificates) that count towards the English Baccalaureate (Ebacc) measure²⁹ in KS4 performance tables,
 - b. Functional skills and free-standing mathematics qualifications³⁰ registered with Ofqual, as a stepping stone to GCSE study, or
 - c. English for speakers of other languages (ESOL) qualifications registered with Ofqual, as a stepping stone to GCSE study (in relation to English only).
151. GCSEs will be reformed and the first teaching of the new GCSEs will start at KS 4 in September 2015. The first cohort of post 16 students taking the new GCSEs will be taught from September 2017. Once they are introduced, reformed GCSEs in English and maths will replace existing GCSEs as part of the study programme English and maths requirement.
152. The condition will not apply where students enter the school, college or training institution from another country with an education system that does not provide these qualifications. These students will have demonstrated to the satisfaction of the school or college that the qualification they hold is a suitable equivalent and that they possess the necessary competency in the subject in question.

²⁹ [Technical Guides and Documents](#)

³⁰ [Ofqual register - qualifications](#)

153. Students with learning difficulties and/or disabilities (LLDD) will be excluded from this requirement where appropriate. Students with LLDD who are capable of taking and achieving these qualifications, although they may be stretching, should always do so. However, all students with Learning Difficulties and/or Disabilities who do not hold a GCSE level A* - C in English and/or maths should work towards qualifications at some level in these subjects, where it is appropriate for them to do so, to be eligible for study programme funding.

Baseline Year (from 2011/12 data)

154. Before summer 2013 the EFA will provide a report based on 2011/12 data that outlines the indicative percentage of students with each institution where the condition is not currently met to inform institutions' planning. These reports will be re-run based on 2012/13 data.

2013/14 Academic Year

155. For starters from autumn 2013 each institution will receive warnings that unless English and/or maths are included in the following year the student would not be funded in future.

2014/15 Academic Year

156. For autumn 2014 starters, any student where the conditions are not met will be removed from allocations data for 2016/17. The institution will receive advance warning of this in their January 2016 student number statement.

Data Collection

157. Two fields to indicate whether the student has a grade C or above in maths and/or English have been included in the ILR from 2013, and are proposed for the School Census from 2014.

158. In the future it may be possible to match this data from the Learning Records Service (LRS). As the Unique Learner Number (ULN) will be mandatory in the School Census from 2014 there will be better coverage of GCSE qualifications in the LRS. Institutions should then be able to download prior attainment for students enrolling with them.

159. The ILR/Census will include data on students identified with profound or complex learning difficulties who are not undertaking English and maths qualifications so that this requirement can be waived to ensure that they are funded.

Annex A

Students that continue in learning beyond their planned end date and whether they would receive additional funding.

The student returns in the new academic year to do:

A new full time programme with qualifications and activity that have not previously been funded	Funding per student at full time rate
A new part time programme with qualifications and activity that have not previously been funded	Funding per student at relevant part time rate
A new full time programme <i>plus</i> additional qualifications	Funding per student at full time rate and no additional funding
A new or continuing full time programme <i>plus</i> re-sits or re-takes	Funding per student at full time rate and no additional funding
Planned continuation of the same programme (full time or part time)	Funded as full or part time as appropriate
Unplanned continuation of the same programme (full time or part time)	No additional funding
A new full time programme <i>plus</i> a part time programme with the same or another institution	Funding per student at full time rate and no additional funding
Re-sit only of previously taken qualification(s) Re-take only of previously taken qualification	No further funding In 2013/14, as a transitional measure, we will fund individual students who re-take qualifications. Subsequently re-takes will not generally be eligible for funding, but where there are exceptional circumstances outside the control of the student or institution, such as a period of long term sickness, or good educational reasons then the re-take delivery hours for individual students may be included in the funded study programme hours.



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