**Adult Education Budget Documentation Guidance**

All documents can be found by clicking the following link: [Adult Education Budget 2022-202](https://www.southtyneside.gov.uk/article/73252/Adult-Education-Budget-2021-2022)3

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| Document Locations |
| 1. Adult Education Budget | 2. Study Programme | 3. Safeguarding, Prevent & Wellbeing | 4. Health and Safety |
| 5. Teaching Resources | 6. Quality Assurance | 7. Policy and Guidance |  |

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| **Key Documents to Submit** |  | **Guidance/Template Documents if Required** |
| **Ref** | **Document Name** | **Loc** |  | **Ref** | **Document Name** | **Loc** |
| **22001** | Provider Submission Form | 1 |  | **22010** | Additional Learner Support Request | 1 |
| **22002** | AEB Course Code Request | 1 |  | **22012** | Tutor Evaluation | 5 |
| **22003** | Course Register | 1 |  | **22013** | Learner Voice | 5 |
| **22004a** |  Personal Learning Plan (Part 1) | 1 |  | **22014** | VARK Questionnaire | 5 |
| **22004b** |  Personal Learning Plan (Part 2) | 1 |  | **22015** | Additional Learner Support Feedback | 1 |
| **22004c** |  Personal Learning Plan (Part 3) | 1 |  | **22017** | Learner Handbook | 5 |
| **22005** | Project Claim Form | 1 |  | **22018** | Directory of Services | 5 |
| **22006** | Early Withdrawal into Employment Form | 1 |  | **22021** | Lesson Plan Template | 5 |
| **22007** | Adult Education Budget Enrolment Form | 1 |  | **22022** | 5 Minute Lesson Plan Template | 5 |
| **22008** | Provider Staff Details Form | 1 |  | **22023** | Group Profile | 5 |
| **22009** | Course Amendment Form | 1 |  | **22025** | Learner Induction Presentation | 5 |
| **22011** | Non-Accredited Certificate of Completion | 1 |  | **22026** | Provider Risk Management Record | 7 |
| **22016** | Learner Amendment Form | 1 |  | **22028** | Tutor Risk Assessment | 4 |
| **22019** | Scheme of Work (SOW) Template | 5 |  | **22029** | Employer/Work Placement Health and Safety Declaration | 4 |
| **22027** | Venue Risk Assessment | 4 |  | **22030** | Accident Reporting Form (AR3) | 4 |
| **22054** | Designated Safeguarding Lead Declaration | 3 |  | **22031** | Near Miss Form | 4 |
| **22079** | Specific Point of Contact Form | 1 |  | **22032** | Violence Report Form | 4 |
|  |  |  |  | **22033** | GDPR Data Breach Form | 7 |
|  |  |  |  | **22034** | GDPR Subject Access Request | 7 |
|  |  |  |  | **22053** | Lesson Observation (OTLA) Template | 6 |
|  |  |  |  | **22055** | [Safeguarding Incident/Concerns Form](#SafeguardingIncidentConcernForm) | 3 |
|  |  |  |  | **22057** | External Speakers Staff Checklist | 7 |
|  |  |  |  | **22058** | External Speakers Approval | 7 |
|  |  |  |  | **22059** | External Speakers Agreement | 7 |
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**Naming Conventions**

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| --- | --- | --- | --- | --- | --- | --- |
| **Ref** | **Document Name** | **Submission Reference** |  | **Ref** | **Document Name** | **Submission Reference** |
| **22001** | Provider Submission Form | AA012345678\_Submission |  | **22010** | Additional Learner Support Request | JoeBloggs\_AA012345678\_ALSRequest |
| **22002** | AEB Course Code Request | S01234\_CodeRequest\_01082022 |  | **22015** | Additional Learner Support Feedback | JoeBloggs\_AA012345678\_ALSFeedback |
| **22003** | Course Register | AA012345678\_SREG (for start register)AA012345678\_REG1AA012345678\_REG2 |  | **22029** | Employer/Work Placement Health and Safety Declaration | AA012345678\_EmployerH&S |
| **22004a** |  Personal Learning Plan (Part 1) | JoeBloggs\_AA012345678\_PLP1 |  | **22030** | Accident Reporting Form (AR3) | JoeBloggs\_AA012345678\_AR3 |
| **22004b** |  Personal Learning Plan (Part 2) | JoeBloggs\_AA012345678\_PLP2 |  | **22031** | Near Miss Form | JoeBloggs\_AA012345678\_NearMiss |
| **22004c** |  Personal Learning Plan (Part 3) | JoeBloggs\_AA012345678\_PLP3 |  | **22032** | Violence Report Form | AA012345678\_ViolenceReport |
| **22005** | Project Claim Form | AA012345678\_Claim |  | **22055** | [Safeguarding Incident/Concerns Form](#SafeguardingIncidentConcernForm) | Safeguarding\_01082022 |
| **22006** | Early Withdrawal into Employment Form | JoeBloggs\_AA012345678\_EarlyWithdraw |  |  |  |  |
| **22007** | Adult Education Budget Enrolment Form | JoeBloggs\_AA012345678\_Enrol |  |  |  |  |
| **22008** | Provider Staff Details Form | JoeBloggs\_StaffDetails |  |  |  |  |
| **22009** | Course Amendment Form | AA012345678\_AmendCourse |  |  |  |  |
| **22011** | Non-Accredited Certificate of Completion | JoeBloggs\_AA012345678\_Cert |  |  |  |  |
| **22016** | Learner Amendment Form | JoeBloggs\_AA012345678\_AmendLearner |  |  |  |  |
| **22019** | Scheme of Work (SOW) Template | S01234\_SOW |  |  |  |  |
| **22027** | Venue Risk Assessment | VenueRiskAssess\_01082022 |  |  |  |  |
| **22054** | Designated Safeguarding Lead Declaration | JoeBloggs\_DSL |  |  |  |  |
| **22079** | Specific Point of Contact Form | SPOC\_01082022 |  |  |  |  |
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**Key Documents to Submit**

| **Doc Ref** | **Form** | **Hand in date** | **South Tyneside Works use this form to:** | **Completion checklist – common errors** |
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| **22001** | **Provider Submission Form** | With every batch of paperwork (e.g. enrolments, PLPs) | Confirm to South Tyneside Works which paperwork has been submitted against each course. Match data received by South Tyneside Works and ensure that all documentation is compliance checked prior to submission.  | Are the learner names listed?Is the course code completed?Are all mandatory documents included?Has the provider confirmed that the documents have been compliance checked? |
| **22002** | **Course Code Request** | 14 days prior to course start dates | Establish/set up a new course. This form supports us to safeguard learners, risk assesses the learning environment, timetable quality assurance activities and check compliance against contracts.  | Are all tutor and course details completed, and correct including LARS and Z codes.Have you supplied copies of tutor qualifications?Have you supplied a venue risk assessment?Have you included any dates when classes won’t be running, including those which are tutor led-online.Have you included the correct code for tutor led distance learning? (ZZ99 9ZZ) |
| **22003** | **Course Register** | Within 14 days of the course starting and the completed register 14 days following course end date. | Track learner attendance, withdrawals, and destinations. This form monitors and records attendance on programme and supplies destinations data. This form also supports provider payments and provides GLH information. This form is required to comply with ESFA audit requirements. | Do the details match course approval?Has the key code been used to record attendance details?Have all learner destination codes been recorded?Where a learner has withdrawn has a learner amendment, or withdrawal into employment form been completed?Has learner actual GLH been recorded? |
| **22004a** | **Personal Learning Plan- Part 1** | Within 14 days of the course starting | Record the commissioned aims the learner is participating in. Demonstrate appropriate induction to the programme for the learner.Record starting points for wider elements of the Career Development Framework.  | Has the learner fully completed the induction?Has a starting point been established using the CDI framework?Do Initial Assessment results inform the PLP?Is any additional support required?Have both tutor and learner declared accuracy of the contents? |
| **22004b** | **Personal Learning Plan- Part 2** | Within 14 days of course completion | Record and monitor an individualised plan of learning, progress, and achievementMonitor learner progress against targets during OTLAs.Quality assures assessment on programme via the use of reviews and feedback. | Ensure only one part 2 per commissioned aim. Are you using the convention described, with a date then an update against each date?Have learners been involved in and agreed their targets?Are targets reviewed regularly by both tutor and learner, with developmental feedback?Do learners understand their progression towards targets?Have both tutor and learner declared accuracy of the contents? |
| **22004c** | **Personal Learning Plan- Part 3** | Within 14 days of course completion | Record achievement/completion of course in accordance with SFA requirements.Record destination/impact data and inform progression.Monitor IAG referral and signposting. | Have all commissioned aims completion date been recorded?Have learners provided a definition against the 3 elements of safeguarding?Has progress against the CDI framework been updated?Have learners recorded the impact of their programme on completion?Has an evaluation been provided?Have both tutor and learner declared accuracy of the contents? |
| **22005** | **Project Claim Form**  | When data is confirmed as complete | Verify payment information prior to submission of invoice.Identify payment method and amount to be invoiced for by schedule and course codes. | Are the course codes correct?  Is the schedule number correct?Are the payment details up to date? |
| **22006** | **Early Withdrawal into Employment Form** | As soon as possible on identification of a change | Record a learner who has left accredited provision early to go into employment. Evidence progression into employment.Support achievement payment. | Have full employer details been provided to allow South Tyneside Works to verify the employment?This constitutes non-achievement, therefore, provider unable to claim 10% achievement. |
| **22007** | **Adult Education Budget Enrolment Form** | Within 14 days of course start date | Enrol learners onto a course and ensure compliance Evidence learners’ existence and eligibility - ESFA funding compliance.Ensure target learners are being engaged in learning | Have you included full address including postcode?Have you filled in national insurance number?Has the provider and the learner signed the form?Have you checked learners’ benefit evidence for those claiming a free course? And signed to show that benefits have been seen?Have you completed ‘length of time at addresses? |
| **22008** | **Provider Staff Details Form** | During contract clarification and where appropriate throughout the academic year | Ensure the appropriate details are held by all staff involved in South Tyneside Works contract delivery Ensure any staff member working on South Tyneside Works contracts are appropriately qualified and experienced in their role. Provide an overview of duties and confirm GDPR opt in for communications.  | Does the form hold all relevant qualifications and experience to allow for delivery of the intended qualifications?Are DBS details up to date? Where the staff member is part of the update service, has the original printed certificate been sighted? |
| **22009** | **Course Amendment Form**  | As soon as possible on identification of a change | Inform South Tyneside Works of any change to the course details Ensure all course information is accurate in accordance with ESFA requirements. | Have all details been clearly provided to allow the changes to the course to be processed?Do changes affect the GLH of the provision? |
| **22011** | **Non-Accredited Certificate of Completion** | 14 days following course completion date | Demonstrate achievement of the course or qualification Confirm achievement of non-accredited learners where the qualification is not certificated through an awarding body.  | Do the dates reflect the information included on the enrolment and PLP?Does the name reflect the information included on the enrolment and PLP?It is not mandatory for providers to use South Tyneside Works template but should be used where the provider does not use their own internal certificate. If you would like to add your own logo to this certificate, contact your ESO |
| **22016** | **Learner Amendment Form** | As soon as possible on identification of a change | Inform South Tyneside Works of any change to learner details Ensure all learner information is accurate in accordance with ESFA requirements. | Is the learner withdrawing from learning, if so, why?Is the learner transferring to another course? If it is withdrawal into employment, ensure that 22006 into Employment Form is used) |
| **22019** | **Scheme of Work (SOW) Template** | To be submitted during contract clarification for all courses commissioned.  | Define the structure and content of a course Ensure a quality learning programme for all learnersEnsure courses are sequenced appropriately, taking into account any RPL across commissioned aims.  | Does the SOW promote personalisation, equality & diversity and safeguarding?Are opportunities for the promotion and embedding of maths and English skills planned into the SOW?Are assessment techniques and opportunities for self-directed learning planned?Does the SOW show logical building of skills & knowledge?It is not mandatory for providers to use South Tyneside Works template but should be used where the provider does not have their own template, or the template does not cover sufficient detail in line with the South Tyneside Works template.  |
| **22027** | **Venue Risk Assessment**  | 14 days prior to course start dates | Keep learners safe in and around the venue where learning is taking placeEnsure that learner safety is prioritised.Legally comply with Health & Safety procedures. | Has a venue risk assessment been completed by the provider within the academic year?Have all sections been completed and there is no risk to the learner or tutor during the course? |
| **22054** | **Designated Safeguarding Lead Declaration**  | During contract clarification and where appropriate throughout the academic year  | Ensure there is an appropriately trained and qualified DSL in each organisation. Ensure that key communication and training is offered to the most appropriate person within an organisation. Ensure open communication channels are in place for partners across the supply chain | Are all sections of the form complete? Has the DLS attended training within 2 years to ensure they are appropriately qualified? |
| **22079** | **Specific Point of Contact Form** | During contract clarification and where appropriate throughout the academic year | Ensure that key communication and training is offered to the most appropriate person within an organisation. Ensure open communication channels are in place for partners across the supply chain | Is the most appropriate person to deal with queries or attend training documented on the form?Have you ticked to ensure they can be communicated?Have all necessary details been provided to allow contact? |

**Guidance/Template Documents if Required**

| **Doc Ref** | **Form** | **Hand in date** | **South Tyneside Works use this form to:** | **Completion checklist – common errors** |
| --- | --- | --- | --- | --- |
| **22010** | **Additional Learner Support Request** | Within 7 days of a support need being identified | Evaluate the evidence provided in order to allocate learner support funding.Evidence use of learner support funding.For learners to request additional support where appropriate  | How has the need been identified?Has all of the evidence e.g., Initial Assessment been provided? |
| **22012** | **Tutor Evaluation** | N/A | To find out if a tutor would change anything about a course or do anything differently Inform improvements to service and provider delivery. | This is not required to be submitted but it is good practice to be completed and retained internally. South Tyneside Works may review documentation during deep dive activities.  |
| **22013** | **Learner Voice** | N/A | To gain anonymous feedback from learners Inform self-assessment and business improvement planning | This is provided as a template only. South Tyneside Works may review documentation during deep dive activities. |
| **22014** | **VARK Questionnaire** | N/A | To identify the learning style of their learners Evidence that providers are accommodating the varying needs of the learners and offering a tailored and individualised programme of learning. | This is not required to be submitted but it is good practice to be completed and retained internally. South Tyneside Works may review documentation during deep dive activities. |
| **22015** | **Additional Learner Support Feedback** | Included in the final evidence submitted to the Learner Support Officer | To get learner feedback on any additional learner support they have received Evaluate the effectiveness of the learner support on the learning outcome.Inform improvements to service delivery. | Have all learners who have received learner support completed this form? |
| **22017** | **Learner Handbook** | N/A | Inform learners and provide key information for learners including funding information and points of referral. | Have all learners received a learner handbook, as this is a mandatory requirement for all learners accessing South Tyneside Works provision. |
| **22018** | **Directory of Services** | N/A | Inform learners and staff and provide contact details and appropriate points of contact to support learners and staff | Have any referrals/points of contacts offered to the learner and has this been reflected in the personal learning plan? |
| **22021** | **Lesson Plan Template** | N/A | To show how the tutor plans to deliver teaching and learning, mapped against the scheme of work.Ensure a quality learning programme for learnersAssess course and learner progression linked to SOW and PLPsEvidence personalised approach to teaching and learning | Does the lesson plan account for personalisation, equality & diversity, and safeguarding?Are opportunities for the promotion and embedding of maths and English skills planned?Are assessment techniques and opportunities for extended and self-directed learning planned?Is there demonstration of logical building on skills as well as knowledge?This is not required to be submitted lesson plans must be completed and retained internally. South Tyneside Works will review documentation during deep dive activities |
| **22022** | **5 Minute Lesson Plan Template** |
| **22023** | **Group Profile** | N/A | To present an overview of learners in a group, detailing individual learning styles, ability and need. Monitor personalisation on programme and identification of additional learner support needs duringEnsure a quality learning programme for learners. | This is not required to be submitted but it is good practice to be completed and retained internally. South Tyneside Works may review documentation during deep dive activities. |
| **22025** | **Learner Induction Presentation** | N/A | Ensure learners are provided with the appropriate information in relation their course. Ensure learners are aware of who is funding the programme, key points of contact, support available to them and progression opportunities | Have learners had access to the presentation and indicated on the PLP that they have understood the information contained in it? |
| **22026** | **Provider Risk Management Record** | N/A | Record details of any concerns raised regarding a provider and detail the outcome of these concerns, including any action taken.  | N/A |
| **22028** | **Tutor Risk Assessment** | N/A | To keep learners safe by identifying and minimising risk in the learning environment. Assess that learner safety is prioritised.Ensure necessary risks are minimised.Legally comply with Health & Safety procedures. | This is not required to be submitted but it is good practice to be completed and retained internally. South Tyneside Works may review documentation during deep dive activities. |
| **22029** | **Employer/Work Placement Health and Safety Declaration**  | As required. | Ensure the safety and welfare of learners.To ensure that employers:* Have Employer/Public Liability Insurance in place
* Have appropriate Health and Safety regulations

Understand their responsibilities | Has the form been fully completed to allow for appropriate checks to be undertaken by South Tyneside Works? |
| **22030** | **Accident Reporting Form (AR3)** | As soon as possible once an accident has been reported | To report any accident occurring within the learning environment To comply with accident reporting legislation including RIDDOR. | Have you recorded names and addresses of 2 witnesses? |
| **22031** | **Near Miss Form**  | As soon as possible once the near miss has been reported | To report a near miss within the learning environment. To comply with accident reporting legislation including RIDDOR. | Have you completed the rating?Have you completed date Employee advised of action taken? |
| **22032** | **Violence Report Form**  | As soon as possible once the threat of violence has been reported | To report a threat of violence within the learning environment To comply with accident reporting legislation including RIDDOR. | If the incident/injury/damage was reportable under RIDDOR has the name and date of the person who reported it been recorded?Have dates and times been recorded accurately? |
| **22033** | **GDPR Data Breach Form**  | As required. | To record information if there has been a data breach. Record information and where necessary send the information to the Information Commissioner’s Office | Have all sections been completed? |
| **22034** | **GDPR Subject Access Request** | As required. | Provide information to a subject who has requested it. Facilitate a subject receiving a copy of any data/information that is held about them or authorise somebody else to act on their behalf. | Have all sections been completed?Has proof of identity been included? |
| **22053** | **Lesson Observation (OTLA) Template**  | N/A | To record provider performance and compliance against quality assurance measures. Offer feedback and grading in relation to observation of planning and learning, and a review of paperwork and planning documentation | Has feedback been offered by both the observer and the tutor?Have the actions been added to the provider action plan? |
| **22055** | **Safeguarding Incident/Concerns Form**  | As soon as possible after a concern has been identified | To inform South Tyneside Works of any safeguarding concerns following a disclosure of information or identification of a safeguarding issue. Ensure learners are safeguarded appropriately and a record kept of actions taken when and by whom. | Have you recorded all elements of the concern? Have you notified the Safeguarding Lead?Have you had any follow ups about the incident and recorded it? |
| **22057** | **External Speakers Staff Checklist** | N/A | To ensure external speakers are appropriate when given access to sessions provided by South Tyneside Works. To record the checks undertaken by a provider when inviting an external speaker on behalf of South Tyneside Works | N/A- This is a template only |
| **22058** | **External Speakers Approval**  | N/A | To ensure external speakers are appropriate when given access to sessions provided by South Tyneside Works. To record the checks undertaken by a provider when inviting an external speaker ion behalf of South Tyneside Works | N/A- This is a template only |
| **22059** | **External Speakers Agreement** | N/A | To ensure external speakers are appropriate when given access to sessions provided by South Tyneside Works. To record the checks undertaken by a provider when inviting an external speaker ion behalf of South Tyneside Works | N/A- This is a template only |