

# Greater Lincolnshire Combined County Authority Performance Management Framework 2026- 2027

<i>Version</i>	<i>Date of Issue</i>	<i>Changes</i>	<i>Approved by</i>
<i>0.1</i>	<i>Initial Draft</i>	-	-
<i>1.0</i>	<i>March 26</i>	<i>Amendments following feedback: Grant profile performance, meetings schedule and minor word changes and clarifications. Formatting and branding.</i>	<i>L Hill Pritchard</i>

## Table of Contents

<b>1 Introduction to the Adult Skills Fund</b> .....	<b>3</b>
Understanding our terminology .....	3
<b>2 Governance</b> .....	<b>4</b>
<b>3 Performance and Partnership</b> .....	<b>4</b>
Local Governance.....	5
Financial Due Diligence.....	6
Funding Agreement Types.....	6
Grant Funded Providers (Route 1) .....	8
Financial Intervention Regime for FE Colleges.....	9
Contracts for Services (Route 2) .....	9
Financial Due Diligence – Contract for Services for Providers .....	10
<b>4 Performance Management</b> .....	<b>11</b>
Performance Management Principles .....	11
Risk Based Methodology .....	11
Performance Management Meetings.....	13
Data Compliance Checks – Desk-based and Onsite.....	14
Performance Management Flowchart .....	16
Over Performance.....	17
Underperformance.....	18
Provider Failure Procedure .....	19
Careers and Education Information, Advice and Guidance.....	21
<b>5 Subcontracting and Consortia</b> .....	<b>21</b>
<b>6 Data Protection</b> .....	<b>22</b>
<b>7 Data</b> .....	<b>23</b>
Data Submissions.....	23
Individualised Learner Record (ILR) .....	23
Data collection for Tailored Learning provision from 2026/2027 ..	25
<b>8 Payments Reporting &amp; Performance Management</b> .....	<b>26</b>
Payment Timeline .....	26
Free Courses for Jobs (FCFJ) .....	27
Funding Reports for Providers .....	27
<b>9 Audit &amp; Assurance</b> .....	<b>27</b>
<b>10 Progression and Destination Data</b> .....	<b>29</b>
<b>11 Prior Learning/Attainment Levels</b> .....	<b>29</b>
<b>12 Distance and Online Learning</b> .....	<b>29</b>
<b>13 Feedback from Learners</b> .....	<b>30</b>
<b>14 Feedback from Employers</b> .....	<b>31</b>
<b>15 Feedback from Providers</b> .....	<b>31</b>
<b>Contacting us</b> .....	<b>31</b>

## 1 Introduction to the Adult Skills Fund

**1.1** This document applies to all Providers and your subcontractors, who receive Greater Lincolnshire Combined County Authority (GLCCA) funded Adult Skills Fund (ASF) for the 2026 to 2027 funding year (1 August 2026 to 31 July 2027).

This performance management framework does not apply to:

- Apprenticeships
- Advanced Learner Loans
- Skills Bootcamps
- Provision delivered outside of the Combined Authority area

This document forms part of the terms and conditions of funding and you must read them in conjunction with your funding agreement. You must operate within the terms and conditions of the funding agreement, the agreed Delivery Plan, this performance management framework, the funding rates and formula guidance and the Individualised Learner Record (ILR) specification. If you do not, you are in breach of your funding agreement with us.

The Performance Management Framework will be reviewed at least annually to ensure accuracy and will be published on the GLCCA website. Amendments may be made in year should the need arise. Providers are recommended to check the website to ensure the latest version of the framework is being used.

**1.2** The purpose of GLCCA ASF is to support adult learners in Greater Lincolnshire to gain skills which will lead them to meaningful, sustained, and relevant employment, or enable them to progress to further learning which will deliver that outcome. Within ASF, further provision for Tailored Learning is available that supports wider outcomes such as to improve health and wellbeing, equip parents/carers to support their child's learning, and develop stronger communities. We recommend that Providers review the whole document.

### Understanding our terminology

**1.3** We will refer to the Greater Lincolnshire Combined County Authority in this document as GLCCA. Lincolnshire County Council (LCC) is managing the delivery of the Adult Skills Fund on behalf of the GLCCA and therefore any reference to GLCCA should be taken to include LCC in this role. The term 'you' or 'Providers', includes both Grant Funded organisations and Contract for Services organisations including colleges, higher education institutions, training organisations, local authorities, specialist designated institutions and employers and any other organisations who receive funding from GLCCA to deliver education and training through the devolved ASF. We will use the generic term 'you' or 'Provider' unless the requirements only apply to a specific Provider type.

When we refer to Grant funded organisations, this means the organisation that is responsible for ASF delivery as detailed in a Grant Agreement.

When we refer to Contract for Services organisations, this means the organisation that is responsible for ASF delivery as detailed in a Contract for Services.

'Resident/learner' covers those whose provision is funded by the GLCCA.

'Provision' refers to all learning that we fund, whether it is a regulated qualification or other



learning that is not a regulated qualification as detailed in the DfE 'Find a Learning Aim Service' available at <https://findlearningaimbeta.fasst.org.uk> or as agreed with the Combined Authority.

Qualifications will either be from the Regulated Qualifications Framework (RQF) or an Access to Higher Education Diploma recognised and regulated by the Quality Assurance Agency (QAA).

'Learning aims' mean a single episode of learning which could be a regulated qualification, a component of a regulated qualification or Non-Regulated Learning.

'Programmes' mean a coherent package of learning which may include regulated qualifications, components of regulated qualifications or nonregulated learning with clearly stated aims supporting agreed outcomes.

We may refer to this document as Funding Rules or the rules.

## 2 Governance

**2.1** The Governance structure and decision-making process for ASF is compliant with the GLCCA's Strategic Skills Plan. The Strategic level governance of ASF will be by the GLCCA. The Employment and Skills Board (one of the three Executive committees of the Combined County Authority) will act in a regional capacity to enable the ambitions and outcomes of the Authority of its employment, skills and adult education functions. The GLCCA is the accountable body responsible for commissioning devolved ASF provision. Regular updates will be provided to the public meetings of the GLCCA.

**2.2** The GLCCA will ensure that the funding is directed to the identified areas of need and skills gaps. The successful devolution of ASF funding will require extensive stakeholder engagement. The GLCCA will engage with relevant stakeholders to identify need and gaps in skills provision in their communities. This information will be used to acquire appropriate levels of provision to respond to local need.

**2.3** The management of the Free Courses for Jobs delegated fund (formerly National Skills Fund Level 3 Offer) will be managed in line with the ASF Governance Process, Performance Management Framework and Funding Rules.

## 3 Performance and Partnership

**3.1** The GLCCA are committed to support the delivery and successful performance of ASF through their arrangements with Lincolnshire County Council. Provider management and support will be conducted by the Strategic Programmes Team and other Lincolnshire County Council officers as appropriate.

**3.2** The devolution of the ASF budget to GLCCA affords the opportunity to focus on a wider range of outcomes than qualifications alone. We will utilise existing GLCCA networks to develop a shared understanding of good practice, performance management and management information requirements and develop innovative and collaborative delivery models focused on enabling residents to achieve their full potential and increase levels of social mobility, focusing on supporting our residents to gain the skills needed to progress towards or into productive and sustained employment.

**3.3** This document provides performance management guidance for Contract for Services contracts, and Grant-funded Providers in receipt of devolved GLCCA ASF funding for provision starting 1st August 2026. This document should be read alongside the Provider's Contract or Grant Agreement, the GLCCA detailed Funding rules and Performance Management Framework, the DfE Individualised Learner Record (ILR) specification and [the DfE's Provider Support Manual](#) and any other relevant sources referred to in those documents.

**3.4** This guidance will be updated to reflect any changes and will be reviewed before July 2027. Providers are advised to check on the GLCCA website to ensure that they are using the most up-to-date version of this guidance.

**3.5** Providers will be held to account through a risk-based performance management framework. We will work collaboratively with the Providers and aim to enable all GLCCA residents to gain the skills required to improve their life opportunities, be able to take up high quality employment and/or start in enterprise, both of which are central to an inclusive economic recovery. Through the agreement of delivery plans and ongoing Provider management, the GLCCA will begin better aligning ASF provision to current and future regional labour market needs.

**3.6** It is important to us that we develop new relationships and new ways of working with both our Grant-funded Providers and those who have a Contract for Services, and that we embed our organisational values in how we work with our Providers. We believe that the new flexibilities provided to the GLCCA through devolution have enabled us to commission Providers who value collaborative partnership working, focused on place whilst delivering high quality provision.

## Local Governance

**3.7** GLCCA is keen to ensure there is a strong focus on how delivery looks within a place as well as at a Greater Lincolnshire level for the ASF provision. To enable this GLCCA intends to provide a supportive and engaging environment whereby key stakeholders, including but not limited to local authorities and Providers, can shape, contribute to and take ownership for the Greater Lincolnshire Adult Skills provision. This may include, for example, shared learning forums or good practice groups.

**3.8** GLCCA will share key information with the constituent local authorities such as:

- Actual delivery by local authority area and sector skills areas, split by residents' volumes and value.
- Intended and or actual progression and destinations.

**3.9** GLCCA wants to see collaboration across all Providers and their supply chains to enable high quality learner pathways, both at a local level and across Greater Lincolnshire.

**3.10** We are looking to establish place based local delivery networks, working collaboratively across the GLCCA, providing clear progression pathways for residents into work or progression in work, an apprenticeship or further learning. Whilst GLCCA will work with Providers to manage contract performance and compliance, we also expect our Providers to work collaboratively with each other. Whether funded through a grant or a contract for services, Providers should be focused on a more strategic and joined-up skills offer that better meets local employer and resident needs, especially for those residents who have complex needs in our most disadvantaged communities.



**3.11** GLCCA will continue to work with its Providers in-year to identify ways of focussing ASF to improve the impact and ensure training delivery is directly aligned to our ASF Strategic Skills Plan. This guidance will be updated to reflect any changes made. Providers are advised to check on the GLCCA website to ensure that they are using the most up-to-date version of this guidance.

**3.12** GLCCA is taking a risk-based approach to its performance management, allowing flexibility to move money around in-year in response to performance and need. Alongside the regular performance management reviews, we expect all Providers to identify when they are not meeting profiled delivery or when they are experiencing higher demand so we can consider whether it is appropriate to re- distribute funding in-year.

**3.13** GLCCA will achieve consistency of service across Providers through:

- Contract review meetings
- Monthly analysis of occupancy reports against profiled delivery, based on ILR submission data
- This performance management framework
- Documented funding rules and agreements
- Supporting Providers in programme delivery and performance.
- Regular desktop compliance checks

### Financial Due Diligence

**3.14** Providers who have secured a skills programme funding contract with the GLCCA will be subject to its risk-based financial due diligence and financial health assessment. GLCCA will test financial health at least annually to gain some assurance that Providers are financially resilient.

**3.15** It is mandatory for all Providers to submit the information requested by the deadlines provided. This will include Business Continuity and Risk Management plans and policies where requested. Policies requested may include: Safeguarding; Prevent; Compliments and Complaints; Health and Safety; Equality, Diversity and Inclusion; Fees and anything else which may be considered relevant at the time.

**3.16** We expect that information is provided in full. Failure to meet deadlines may result in the withholding of payment and/or result in a serious breach of the Grant Agreement / Contract.

### Funding Agreement Types

**3.17** We have commissioned ASF provision through two routes as stated in the GLCCA ASF Strategic Skills Plan:

- Route 1: Grant allocation for organisations that meet the GLCCA criteria in the Strategic Skills Plan.
- Route 2: Contracts for Services awarded through a procurement exercise.

**3.18** We will work with all Providers in an open and transparent partnership, based on an agreed 12 month delivery plan. There are some technical and process differences in how we apply our performance management framework. This reflects the different regulatory frameworks Providers operate under, but the robustness of the approaches is consistent.



**3.19** ASF Grant Agreements and Contracts for Services remain separate with different payment arrangements. You cannot move funds from any Free Courses for Jobs allocation to Accredited learning or Tailored Learning, or from Accredited learning to Tailored Learning nor between any other funding streams you may have received from GLCCA. Subject to agreement, you may move funds from Tailored Learning to Accredited learning or from Accredited learning to Free Courses for Jobs.

**3.20** All Providers are required to submit accurate, timely ILR on a monthly basis and Earnings Adjustment Statement data as required post R01 as stated in your Grant Agreement / Contract for Services. This information will be used to support our payment and performance management processes.

**3.21** In addition to monthly data returns all learning organisations will provide the Authority with six earnings review claims which should reflect the actual delivery of Provision by the learning organisation as at the date of the funding claim, and where appropriate, provide a forecast of the delivery of Provision by the learning organisation for the remainder of the Funding Year.

**3.22** The earnings review claim points are:

- R04 claim to be submitted by the Provider to the Authority by close of play on the 11th December 2026 following the submission of the R04 claim on the 4th December 2026.
- Mid-year claim to be submitted by the Provider to the Authority by close of play on the 12th February 2027 following the submission of the R06 claim on 5th February 2027;
- R08 claim to be submitted by the Provider to the Authority by close of play on the 13th April 2027 following the R08 deadline date of the 6th April 2027;
- R10 claim to be submitted by the Provider to the Authority by close of play on the 11th June 2027 following the R10 deadline of the 4th June 2027;
- End-year claim to be submitted by the Provider to the Authority by close of play on the 12th August 2027 by the Provider to the Authority following the submission of the R12 5th August 2027 and;
- Final funding claim to be submitted by the Provider to the Authority by close of play on the 28th October 2027 following the submission of the R14 on 21<sup>st</sup> October 2027.

**3.23** The GLCCA will provide Providers with a template for this submission.

**3.24** All learners funded by the GLCCA ASF and FCFJ must be resident in Greater Lincolnshire. Learners outside Greater Lincolnshire will be funded by either the DfE or another Combined Authority. This can be checked at the following link: [Adult skills fund \(ASF\) postcode files - GOV.UK](#)



## Grant Funded Providers (Route 1)

**3.25** The GLCCA will agree a delivery plan and financial forecast with you, and this will be the key document against which you will be performance managed. Financial re-forecasting will only take place if a contract variation has been approved.

**3.26** The GLCCA has awarded Grant Agreements initially lasting for one year (1 August 2026 to 31 July 2027), with a commitment to fund future years (allocation dependent from DfE) with an annually updated delivery plan and grant agreement.

**3.27** Where there is under-performance, we reserve the right to re-base Providers in-year and/or in subsequent years. Where Providers have identified and worked with us to manage this under-performance, we will discuss any requirement for re-basing. Where Providers do not declare under - performance in advance, the GLCCA reserves the right to re-base allocations automatically.

**3.28** We will hold formal performance management meetings, subject to performance and risk rating. These will focus on how Providers are progressing in achieving the activity set out in the delivery plan and the timeliness and accuracy of the data being provided to the DfE. At performance management meetings, any funding available due to under-delivery may be re-deployed and payments reprofiled following discussion with grant funded Providers.

**3.29** We will pay grant funded Providers on a standard profile of 12 equal instalments, for all funding streams, except innovation which will be paid on actuals from the earnings review claims (see 3.22). The GLCCA will consult with all Grant funded Providers during the year on the robustness of the profile and will consider reprofiling where there is good evidence to support.

	R01 - %	R02 - %	R03 - %	R04 - %	R05 - %	R06 * %	R07 - %	R08 - %	R09 - %	R10 - %	R11 - %	R12 - %
<b>Monthly Profile</b>	8.333	8.333	8.333	8.333	8.333	8.333	8.333	8.333	8.333	8.333	8.333	8.333
<b>Cumulative Profile</b>	8.33	16.67	25.00	33.33	41.67	50.00	58.33	66.67	75.00	83.33	91.67	100
<b>Minimum Delivery Performance expectations of allocation value</b>				25%		50%		70%		80%		97% (100% at R14)

\* Mid year review point.

**3.30** The GLCCA will keep to the current 3% tolerance of under delivery for Grant funded Providers (Route 1) at end of year reconciliation based on actual delivery across all funding streams. If you choose to deliver provisions which exceed the value of your Grant, the GLCCA is not required to fund any over delivery. This does not apply to Route 2 grant funded organisations as they will be paid on actual delivery.

**3.31** Grant funded Providers are required to submit ILR data and Earnings Adjustment Statement data via the DfE. This information will be used to inform the risk-based performance

management of your organisation. Returns should be submitted in-line with the 2026/27 DfE ILR specification, and in line with your Grant Agreement.

## Financial Intervention Regime for FE Colleges

**3.32** To be successful, colleges need to be well managed and financially resilient. While the GLCCA will be performance managing its FE colleges in relation to delivery of ASF, the DfE will continue to monitor FE colleges nationally and we will use their assurance letters to support our review of FE colleges' financial viability.

**3.33** If the DfE and/or the GLCCA has evidence of risk or non-compliance with funding requirements, they will work together to intervene in proportion to the seriousness of the issues and the college's context and circumstances. GLCCA will be working with the DfE area teams and will be part of any review team set up by the FE Commissioner. This approach will mitigate the need for any separate reviews to be undertaken. The DfE and GLCCA will be looking to ensure that any action taken:

- is in the interests of learners
- protects public money
- achieves resolution of financial or quality concerns at pace

## Contracts for Services (Route 2)

**3.34** Procured provision has been secured through a competitive procurement process; therefore, it is essential that alignment is maintained with the details outlined in the Provider's bid. Under no circumstances can deviations be made from the bid details unless formal approval has been obtained.

The following list is not exhaustive but includes key elements that must remain consistent with the bid

- delivery method (e.g., face-to-face classroom delivery)
- delivery location
- sector areas
- provision type

**3.35** The bid outlines the course content, which will be used to manage performance. Delivery plans, as outlined in the bid, form part of the contract. Consequently, GLCCA will not be required to pay for any delivery that occurs outside the approved delivery plan.

**3.36** The GLCCA anticipates that the call off contracts will start 1 August 2026 and be for an initial term of 1 year plus one year.

**3.37** As part of awarding a contract, the GLCCA will agree a delivery plan and financial forecast. Financial re-forecasting will only take place if a contract variation has been approved.

**3.38** All Contracts for Services Providers will be paid on actual delivery a month in arrears.

**3.39** We will hold performance management meetings, subject to performance and risk rating. These will focus on how Providers are progressing in achieving the activity set out in the delivery plan and the timeliness and accuracy of the data returns to the DfE. At performance management meetings, any funding available due to under-delivery may be re-deployed and payments reprofiled following discussion with grant funded Providers.



**3.40** Contracts for Services for Providers are expected to utilise 100% of the funding, if this cannot be achieved then the GLCCA can re-profile allocations and re-distribute the funding. If you choose to deliver provisions which exceed the value of your contract, the GLCCA is not required to fund any over delivery.

**3.41** Contracts for Services for Providers are required to submit ILR data and Earnings Adjustment Statement data via the DfE on a monthly basis. The first return is R01, and this will contain new starts from 1 Aug 2026 and should be submitted in-line with the 2026/27 DfE ILR specification, then in line with your Contract. This information will be used to support your payments and inform the risk-based performance management of your organisation.

### Financial Due Diligence – Contract for Services for Providers

**3.42** The GLCCA are notified of any changes to your organisation's credit rating. The GLCCA reserve the right to conduct additional financial checks which may impact the overall risk rating for a Provider.

### 3.43 Earnings Adjustment Statement

**3.44** The Earnings Adjustment Statement (EAS) is the mechanism for all Providers to claim funding for eligible activity that cannot be recorded through the Individualised Learner Record (ILR). This includes specific categories of learner support, exceptional delivery costs and authorised claims.

The EAS is not a mandatory return unless you are making a claim for one or more of the following categories:

- Excess Learning Support
- Authorised Claims
- The King's Trust Programme
- Learner Support: 19+ Hardship
- Learner Support: Care Leavers' Support Fund
- Learner Support: 20+ Childcare
- Learner Support: Residential Access Fund
- Learner Support: IT Devices and Connectivity Costs
- Learner Support: Administration Expenditure
- Learner Support: Care Leavers' Support Fund

Where you make an EAS claim, you must submit an EAS file to the GLCCA monthly, alongside your ILR return. You must not wait until the final funding claim point to supply this data.

Once an EAS claim has been submitted, you must continue to submit EAS data in all subsequent returns for the remainder of the academic year. The EAS is a cumulative return, and each file must include the totality of claims made to date. If an EAS return is submitted with previously claimed data removed, the Authority may recover any payments associated with that data. Subsequently, if EAS data is not included in your final R14 ILR return, it will not be paid.



There is no standard EAS template provided by the Authority. You must use the standard format as defined by the DfE and ensure all claims are accurate, clearly evidenced and aligned with Authority rules.

You must retain full supporting evidence for each EAS claim, including:

- Learner eligibility
- Description of support provided, or cost incurred, with receipts where applicable
- Dates of activity and related documentation
- Authorisation or agreement (where required)

All EAS claims are subject to performance management, monitoring and audit. Claims without sufficient evidence or which fall outside of published rules may be rejected and may lead to funding recovery.

GLCCA may, in line with its strategic priorities, authorise additional or exceptional EAS use to support local flexibilities, pilot programmes or targeted interventions. These must be pre-approved in writing and appropriately referenced within submitted EAS files.

## 4 Performance Management

### Performance Management Principles

**4.1** The performance management principles will apply across all Providers. Although the process of making payments to Providers will differ depending on whether the Provider holds a Grant Agreement or a Contract for Services, our approach to performance management will be the same across all Providers.

**4.2** GLCCA Grant Agreements and Contracts for Services remain separate with different payment arrangements. If you hold both you cannot transfer funds between the two. You cannot transfer funds between your GLCCA ASF and any other funding streams you receive, but you can use other funding streams to complement ASF if that improves the chances of the resident progressing.

**4.3** There will be a number of different reviews that will take place to monitor the grants / contracts in place. These will include Performance Management Meetings, Desk-based and onsite Data Compliance Checks, and Audits. The frequency and detail of the monitoring will be determined by the risk based methodology outlined below.

### Risk Based Methodology

**4.4** Our risk-based methodology enables GLCCA to continuously assess risk based on the data that we receive from Providers. Consistent, accurate and timely ILR and Earnings Adjustment Statement (EAS) data will underpin this risk-based methodology.

**4.5** The flow of data enables us to proactively and proportionately manage our Grant Funded and/or Contract for Services Providers and forms the basis of our conversations with you during Performance Management Meetings. This will enable GLCCA to be preventative in our approach to risk and to enable us to identify innovation and opportunities for growth.



**4.6** The risk-based methodology will facilitate the early identification and control of risk where possible. Risk ratings will be assessed individually, taking into account the specific context of each Provider. Risk ratings are not applied automatically, and decisions will be made based on a careful review of circumstances. Risk ratings will directly inform performance management activity. The table below details the methodology GLCCA will use to manage risk. It is important to note that a Provider’s risk rating can change in year due to a change in risk.

Risk Rating	Examples of Risk Measures (may include, but not be limited to)	Performance Management Activity (may include, but not limited to)
<b>Green / Low Risk</b>	<ul style="list-style-type: none"> <li>• Adhering to all contractual obligations</li> <li>• Meeting or exceeding KPIs</li> <li>• Submitting all data as required</li> <li>• Demonstrating good partnership working</li> <li>• Audit conclusion is “Good” or “Satisfactory”</li> <li>• Ofsted grades at Good or Outstanding (or equivalent)</li> </ul>	<ul style="list-style-type: none"> <li>• Regular performance management meetings and at least one onsite visit.</li> <li>• Data compliance and validation checks and audits.</li> </ul>
<b>Amber / Medium Risk</b>	<ul style="list-style-type: none"> <li>• Not achieving KPIs for two consecutive months</li> <li>• Repeated incidents of missed milestones</li> <li>• Repeated incidents of data irregularities</li> <li>• Qualification or centre Awarding Body sanctions</li> <li>• Proportion of Qualifications with Direct Claims Status</li> <li>• Outcomes of EQA Reports</li> <li>• Inconsistency in engagement with the GLCCA</li> <li>• Financial health/sustainability queries</li> <li>• Audit conclusion is “Not Satisfactory”</li> <li>• Ofsted grades at Requires Improvement or equivalent; or no full inspection yet completed</li> </ul>	<ul style="list-style-type: none"> <li>• Bi-monthly performance management meetings alongside onsite visits</li> <li>• Increased audit activity</li> <li>• Increased financial due diligence (as appropriate)</li> <li>• The GLCCA will agree a Recovery Plan with the Provider with agreed timescales for rectification</li> </ul>



<b>Red / High Risk</b>	<ul style="list-style-type: none"> <li>• A serious breach in the Grant Agreement and/or Contract for Services</li> <li>• Failure to engage with GLCCA</li> <li>• Not meeting the objectives set out in agreed Recovery Plans</li> <li>• Concerns over financial health/sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• Monthly performance management meetings as well as a learning visit</li> <li>• Increased audit activity</li> <li>• Increased financial due diligence checks (as appropriate)</li> <li>• The GLCCA will agree a final Recovery Plan with the Provider with agreed timescales for rectification</li> </ul> <p>In the event that performance does not improve sufficiently, the GLCCA will issue formal notification to the Provider of intention to terminate the Grant Agreement and/or Contract for Services.</p>
------------------------	--	--

### Performance Management Meetings

**4.7** The GLCCA will undertake performance management with each Provider during the year, which will be used to review the overall position of the GLCCA's ASF funding in terms of expenditure and delivery. In addition, there will be onsite compliance visits and audits. Each provider will have a minimum of two meetings per year.

**4.8** We will have a structured agenda for these reviews which will focus on the ongoing achievement of performance levels and customer service standards and depending on priority issues, is likely to cover the following areas:-

- Actions arising from any previous Performance Meeting
- Performance including that reported in the ILR and EAS against your Delivery Plan and expected future performance
- Performance against KPIs and Delivery Plan
- Subcontractors and supply chain performance (where applicable)
- Quality of data submissions
- Progression data - Intended Destinations and Actual Progression
- Equality, Diversity and Inclusion – trends/gaps
- Prior attainment levels
- Collaborative working
- Review of delivery models as confirmed in your delivery plan
- Review of Recovery Plan (where applicable)
- Compliance monitoring including exception reports
- Audit outcome and actions
- Marketing
- Regulatory inspections and actions
- CEIAG and Matrix Standard Accreditation
- Governance changes
- Financial health/sustainability
- Policy checks
- Learner feedback – learner surveys, compliments and complaints, case studies



- Engagement with the GLCCA and its strategic priorities
- Confirmation of next meeting arrangements
- Any other business (as appropriate)

This list is not exhaustive and seeks to offer examples of transparent communication between GLCCA and the Provider.

**4.9** Where available, a report will be shared in advance which sets out performance to date, forecast to the end of the funding year, along with details of any existing or potential issues/risks relating to under/over performance in terms of spend or delivery. This report will provide both qualitative and quantitative information.

**4.10** If, at the management reviews set out above, the GLCCA have evidence that you will not deliver in full, it reserves the right to reduce the funding to a level that is in line with your actual in-year delivery. Any funds could be reallocated to other Providers who have the capacity to deliver additional activity. The process for allocating additional funding is outlined in paragraphs 4.32 – 4.37.

### **Data Compliance Checks – Desk-based and Onsite**

**4.11** You must ensure you have systems and processes in place to assure the GLCCA that you are using the Adult Skills Fund appropriately. GLCCA reserve the right to perform Data Compliance Checks for any Provider, including sub-contracted provision.

**4.12** In order to gain assurance on Providers' compliance with the funding rules and agreements with us, GLCCA Contract Officers will undertake regular checks of all Providers.

**4.13** A desk-based data compliance check will include, but is not limited to, the following:

- Progress against your delivery plan (including track record).
- Sample checks of learner files to satisfy compliance with the funding rules. GLCCA will select a sample of learner files to check randomly using a method chosen by GLCCA. The frequency, periodicity and size of samples may change throughout the contract period.
- Systems and processes
- ILR data and quality and timeliness of data returns
- EAS submissions
- Number of Guided Learning Hours (GLH) delivered per qualification (which must be recorded and can include classroom delivery; distance learning and assessment. Attendance records must be available).
- Next steps/learner outcomes at the time of the course completion
- Evidence of learner tracking for progression, intended and actual
- Qualification achievement rates

**4.14** An onsite compliance check will be conducted a minimum of once a year for each Provider. The aims of these visits are to:

- Understand the intent and impact of GLCCA Adult Skills provision and its alignment with the ASF Strategic Skills Plan.
- Explore progression routes and how we can support cohesive progression pathways.



- Gain a deeper understanding of the intent and impact of provision
- Engage with learners to gather their feedback and experiences.
- Talk to tutors to understand their perspectives and support needs.
- Observe learning taking place
- Gather case studies that highlight successes and areas for improvement.
- Monitor sub-contracting arrangements and compliance with subcontracting requirements (where appropriate)
- Review complaints and any whistle-blowing
- Compliance
- Other contractual requirements
- Quality concerns based on progress judgements in published Ofsted reports
- Any compliance concerns, including outcomes of compliance checks and internal audit assurance reviews.

**4.15** These visits are integral to maintaining high standards and encouraging continuous improvement in GLCCA Adult provision.

**4.16** GLCCA will select a sample of learner files to check randomly using a method chosen by the GLCCA. The frequency, type and size of the samples requested may change throughout the contract period.

**4.17** As part of our compliance monitoring, we will continue to monitor compliance with the funding rules. We will contact you where we identify you have submitted data that does not meet our funding rules and ILR requirements. We will require you to correct inaccurate ILR and EAS data or to adjust your final funding claim.

**4.18** Following the outcome of the compliance review, your overall risk rating may be changed to reflect your overall outcome.

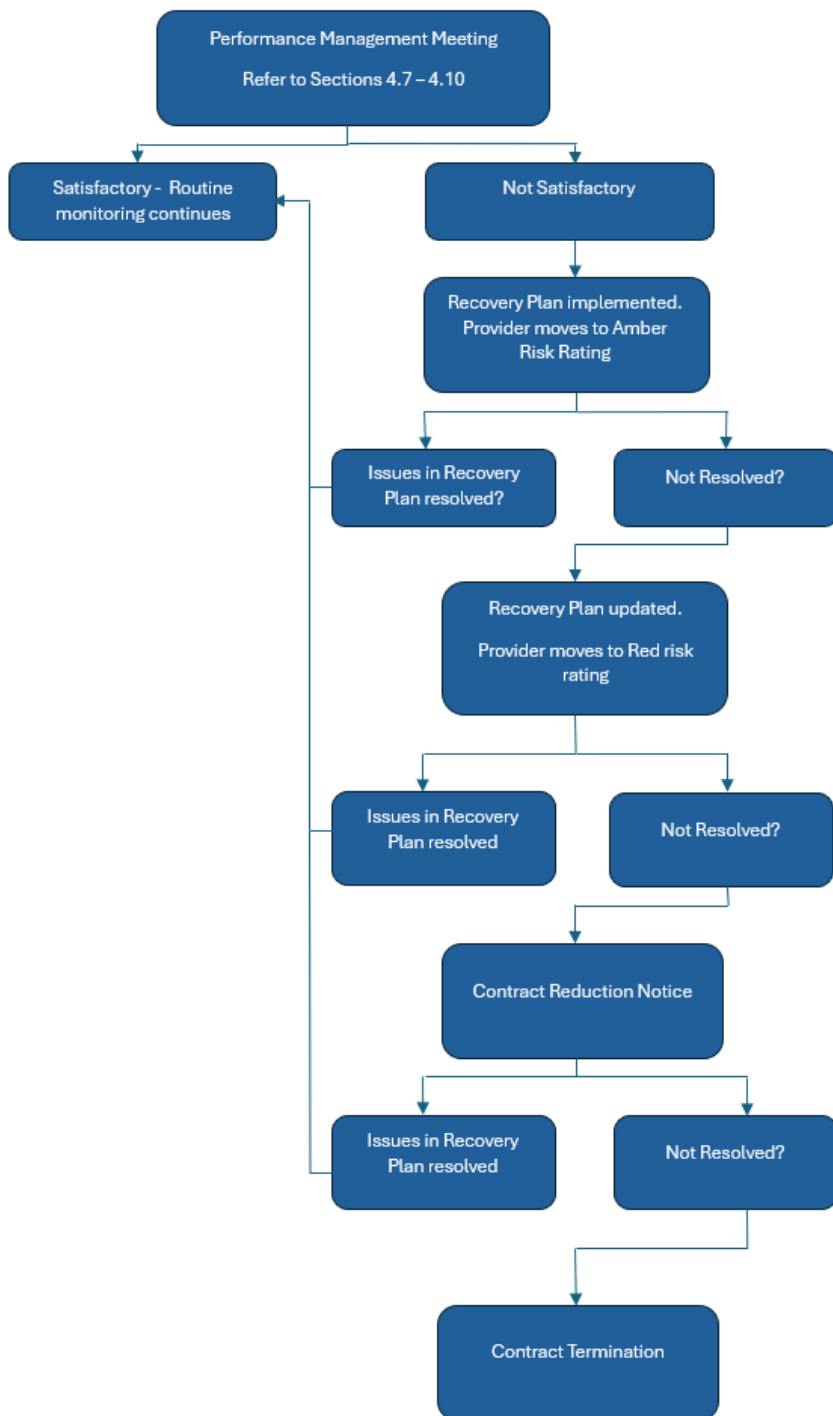
**4.19** Based on the outcome of the compliance monitoring visit, a follow up by the Strategic Programmes Team may be required.

**4.20** Performance management meetings, contract compliance check processes and escalation procedures will be supported by periodic internal audit reviews.

**4.21** GLCCA will use its performance and compliance approaches to see how you are progressing against your delivery plan. Should you fail to meet the requirements and obligations arising from your Grant Agreement or Contract for Services , GLCCA will take appropriate informal/formal action against you as required.



# Performance Management Flowchart



**4.22** In year one, we will look to undertake independent assurance of Adults Skills Fund spend within Greater Lincolnshire. Performance rules will be updated accordingly to reflect this approach.

**4.23** If data shows that you may not achieve the performance levels set out in your Contract for Services/ Grant Agreement, we will require a Recovery Plan. At this stage you will be informed that formal action could be taken in the event that performance does not improve.

**4.24** The Recovery Plan will be developed by the Provider to detail the actions, next steps and support required to improve performance. The Recovery Plan will be reviewed by GLCCA, and support will be provided to assist increased performance where needed.

**4.25** The Recovery Plan will be used to capture all agreed actions for performance improvement, including incremental performance and pipeline data that may lead to improving performance levels in line with the agreement/ contract.

**4.26** The Recovery Plan will be reviewed as part of your Performance Review. More regular contact (up to weekly) will be made to check on progress and provide support. Moving to Level 2 within the Performance Management Framework will impact on your risk rating. It may also have an impact on any request for growth or contract extension.

**4.27** If data and subsequent reviews show that you may not achieve the Recovery Plan set out in your Performance Review, we will discuss your contract and delivery with senior managers. Once these discussions have taken place, a decision will be made as to whether to progress to Level 4.

**4.28** If formal action is required, GLCCA will issue a Contract Reduction Notice in accordance with the terms of your Grant Agreement or Contract for Services, to address the failure to meet the performance levels set out in the grant/ call off contract.

**4.29** GLCCA will stipulate what action should be taken, and the timeframes for action and reporting.

**4.30** In the event that performance does not improve sufficiently to meet the performance levels required after the Contract Reduction Notice, the GLCCA may act to terminate your Contract for Services or Grant agreement.

## Over Performance

**4.31** Please note any over performance will not be paid unless a growth request has been approved and a variation to your Agreement or Contract has been signed. The ASF devolved funding is a finite allocation.

**4.32** Growth requests will be considered from R06, and may be considered from R04, depending on performance and availability of funds. Providers will be able to present a detailed business case for contract growth, which should meet the following criteria:

- a) Delivery focuses on ASF entitlements and/or key strategic needs
- b) Detailed evidence of existing demand which includes community and/or employer links
- c) Detail of impact for example through planned progression into further learning and/or employment



**4.33** A growth request may be considered if:

4.33.1 the Provider's outputs and results are cumulatively above contracted targets, and above 95% of the cumulative financial delivery profile to date

4.33.2 risk rating and data quality is at an acceptable level

4.33.3 the Provider has further capacity; and the GLCCA is in a position to increase targets and contract value for an area of work.

4.33.4 there is clear evidence of need and alignment to GLCCA priorities

4.33.5 Adult provision is rated 'Expected Standard' or above under the current framework; or Good under the pre November 2025 framework. Where an inspection grading is below this, progress has been reported as part of an Ofsted Monitoring visit

4.33.6 The Provider does not have a current audit rating of Minimal Assurance.

4.33.7 Delivery is in line with their delivery profile in terms of learner numbers, sector and geographical areas.

4.33.8 The Provider has been fair, open and transparent in their dealings with GLCCA.

**4.34** Growth requests will be prioritised against strategic need, and in the Local Area geographies with low uptake.

**4.35** Growth allocations will be both viable and proportionate to the original contract.

**4.36** In exceptional circumstances growth may be considered and awarded at any point in the year as needed.

**4.37** The GLCCA also retain the right to run further mini competitions should additional funding become available.

### **Underperformance**

**4.38** If any Provider's delivery is cumulatively below profile, including timely achievements, after two consecutive months they will be highlighted on the programme risk register.

**4.39** Underperformance will be addressed and allow re-allocation of funding to successfully performing Providers. Formal assessment against profile will occur at the following monitoring points for each type of organisation.



Return	R04	R06	R08	R10	R12	R14
<b>Minimum delivery performance expectations against allocation, for each funding stream – Grant Funded Organisations</b>	25%	50%	70%	80%	97%	100%
<b>Tolerance to Provider forecast – Contract for Services organisations</b>	85%	90%	95%	95%	97%	100%

**4.40** The sliding scale tapers towards year-end, supporting Providers who need time to gain momentum. The scale will be applied to Provider’s financial forecasts, although significant variance to DfE national profile will be highlighted.

**4.41** Underperformance will be managed through the process outlined in paragraph 4.20

**4.42** If the final resolution of performance management is to reduce the contract value, the percentage of underperformance against Provider profile will be applied to contract value – although consideration of performance improvement and the application of a minimum value regarding reductions will be considered in each case.

**4.43** Providers will be able to request a reduction to their contract at any point within the year.

**4.44** R08 will be the last tolerance point where Recovery Plans will be agreed with Providers.

**4.45** Where considered appropriate, GLCCA may take action to pause starts or reduce contract allocations.

### Provider Failure Procedure

**4.46** We will follow robust pre-contracting processes and procedures to ensure the quality and stability of Providers, including a financial health check undertaken before contract award as part of Due Diligence.

**4.47** The Service mitigates risks by:

**4.48** Commissioning providers with a track record of delivery

**4.49** Commissioning provision for local needs

**4.50** Setting funding maximums

**4.51** Obtaining a business continuity plan and risk management plan on an annual basis as part of due diligence.

**4.52** Considering whether provision approved could be undertaken by another Provider if necessary.

**4.53** Providers may be terminated for the following reasons:

**4.54** GLCCA needs to withdraw from a funding arrangement, or

**4.55** The Provider withdraws from the arrangement, or

**4.56** The Provider goes into liquidation or administration.



**4.57** In the event that a Contract is terminated with a Provider, continuity of learning and minimum disruption to learners is of paramount importance.

**4.58** GLCCA will work with the Provider to implement a contingency plan once withdrawal from the Contract is made in writing. This will include some or all of the following points:

- Undertake an audit of current and planned provision.
- Re-allocate current provision to commissioned Providers or consider a call-off from the framework if not available.
- Contact current learners to advise of changes.
- Review planned provision and re-allocate where appropriate.
- Arrange an exit meeting with Provider.
- Review financial arrangements and act as necessary.

**4.59** GLCCA will explore a range of options, to organise the continuation of education and training including:

- Using other existing Providers where provision matches
- Commissioning new Provider(s) to deliver the provision

Contingency	Change Factor	Action Required	Staff Member Responsible
Termination of existing contractual arrangement	New Providers to be selected from list of GLCCA approved Providers	Identify suitable Provider Prepare and process Contractual documents	Strategic Programme Manager
	Course timetables / timeframes may change	Ensure changes are minimised as far as possible	
	Course venue may change	Quality monitoring of new set up arrangements	
	Contract costs may change	Inform learners	
Adopting service delivery from Provider	Consider course timetables / timeframes / venue / costs involved	Ensure changes are minimised as far as possible. Inform learners	Contract Officer

If a learner has paid a course fee to the Provider, there is the expectation that it will be reimbursed pro-rata by the Provider.

#### **4.60 Exit Strategy**

Upon withdrawal from the Contract, an exit meeting with the Provider concerned will be organised to review items, as outlined below, and agree document retention to meet funding guidance, as well as the mechanism to inform learners, prospective learners, and the local community. Providers are required to co-operate fully with us to cause minimal disruption to learners and assist with the implementation of any contingency plan proposed.



**4.61** As outlined in the Terms and Conditions, Clause 16, on the termination of this Agreement for any reason, the Provider shall:

- (a) Immediately return to the Council all equipment, resources, confidential information, Personal Data, and IP Materials in its possession or in the possession or under the control of any permitted suppliers or sub-contractors, which was obtained or produced in the course of providing the Services
- (b) assist and co-operate with the Council to ensure an orderly transition of the provision of the Services to any replacement Provider(s) and/or the completion of any work in progress
- (c) promptly provide all information concerning the provision of the Services which may be requested by the Council for the purposes of adequately understanding the way the Services have been provided or for the purpose of allowing the Council or any replacement Provider(s) to conduct due diligence.

### Careers and Education Information, Advice and Guidance

**4.62** All providers are expected to ensure that high quality Careers and Education Information, Advice and Guidance (CEIAG) is embedded across all ASF delivery, as both a gateway to learning and to support progression to further learning and employment.

**4.63** All Providers holding a direct grant or contract for services are expected to hold the Matrix Standard Accreditation throughout the lifetime of their agreement and provide GLCCA with confirmation.

**4.64** Any Provider that does not hold the Matrix Standard Accreditation must agree to work towards and secure accreditation within 6 months of the grant commencement date.

**4.65** The Matrix Standard aims to ensure that learners are able to access high quality information, advice and guidance to help them make informed choices about learning and work. This helps to reduce withdrawal rates from training and education and achieve a positive outcome for both the Provider and the learner.

## 5 Subcontracting and Consortia

Please see the DfE Subcontracting funding rules [here](#) for guidance. GLCCA specific rules around subcontracting are detailed below and where in conflict with the central guidance GLCCA rules will take precedence. We will review this on an ongoing basis as DfE make further updates on this policy.

**5.1** Only Grant funded Providers are allowed to sub-contract.

**5.2** As part of agreeing a Grant funded Provider's delivery plan and in advance of the Grant start date, you will have provided information on the use of subcontractors through a subcontractor declaration. If any changes need to be made to those initial subcontractors in year, these need to be approved by GLCCA through a business case, prior to any new learners starting with the subcontractor. We understand that the mix and balance of the provision you plan to deliver could change and there may be cases where you want to take on a new delivery partner in year. We would expect to see a clear strategic rationale for this decision. We would want to understand particularly how this provision would enhance the offer to residents and see alignment to the GLCCA ASF Strategic Skills Plan priorities.



**5.3** Subcontracting must not take place unless prior approval has been obtained in writing from GLCCA. GLCCA reserves the right to pause funding and investigate any cases of suspected subcontracting where approval has not been obtained.

**5.4** GLCCA is keen to see as much of the ASF as possible is being used to directly support GLCCA residents. As such, GLCCA requires management fees in relation to sub-contractors to be no more than 15% of the total subcontracted amount with the Provider in question.

**5.5** Providers can only subcontract up to 25% of their overall value of their Grant Agreement and/or Contract for Services, unless otherwise specified and/or approved by the Combined Authority. Please note that the 25% threshold does not apply to local authorities. Local authorities must still request an exemption for whole programme subcontracting or subcontracted distance learning.

**5.6** For transparency, a list of sub-contractors and their funding values will be published on the Combined County Authority website.

**5.7** The responsibility for the provision delivered by your subcontractors remains with you as the lead Provider. We expect high quality contracting and performance management to be performed by you for all subcontractors and their provision.

**5.8** Requests for addition of subcontractors purely due to underperformance against your allocation/contract will not be supported.

**5.9** Please note that ASF and FCFJ have separate funding arrangements. As such the 25% maximum allowed under subcontracting arrangements is by individual funding stream, not total value of allocation should you have both ASF and FCFJ allocations.

## **6 Data Protection**

**6.1** Data collection should be minimised to what is necessary and there must be informed consent from individuals. You should make sure that all learners have seen the Privacy Notice, which informs them about how their data will be used. You are required to ensure that the requirements of the Data Protection Act are always maintained.

**6.2** Learners are asked, via the enrolment form process, to provide their consent to be contacted for research etc. This is via an 'opt in' process. The information should be recorded in the Learner Contact preference fields in the ILR. Providers must ensure they fully comply with this and only contact learners who have provided their consent.

**6.3** Appropriate internal data systems should be in place to ensure all information collected (particularly sensitive data (for example ethnic origin, disabilities etc) is managed and kept securely (this includes both hard copies and electronic copies of data). Providers are required to advise what processes are in place to manage data security as part of their entry to the Open Framework for funded Adult Skills and Employment Programmes.



## 7 Data

### Data Submissions

**7.1** Contract for Services Providers are required to submit an accurate and complete ILR each month following the first enrolment from R01 in order to be paid. Grant funded Providers must submit a full and complete ILR at R04 and in every subsequent month. ILR files must be submitted to the DfE via the Submit Learner Data facility <https://guidance.submitlearner-data.service.gov.uk/> and this must include all ASF activity year-to date.

**7.2** As a Provider you must have the capacity and capability for accurate data and evidence collection, management and reporting and you must be able to comply with both the GLCCA's and the DfE's data submission requirements, including, but not limited to, the Individualised Learner Record (ILR), Earnings Adjustment Statement (EAS) and all associated evidence, with prompt recording of changes to learner data, e.g. withdrawals from learning.

**7.3** Providers must ensure that all documentation relating to the enrolment of GLCCA residents, and the record of learning activity is completed accurately. ILR data submitted for GLCCA residents will continue to be submitted to the DfE through the "Submit Learner Data" facility <https://guidance.submitlearner-data.service.gov.uk/> provided by the DfE. ILR files will be validated at the point of transmission against both definitions and validation rules. If any data fails the validation checks, then the learner record and all associated records for that learner will be rejected. Rejected records are not loaded into the national ILR database and so do not generate funding; these records are reported on the rule violation report. This will ensure that the data received by GLCCA is accurate and complete as it will be used as the basis for the payments you will receive.

**7.4** As part of our assurance work, GLCCA will be monitoring the data Providers submit to the DfE from the Individualised Learner Record (ILR) and the Earnings Adjustment Statement (EAS). GLCCA will carry out regular desktop reviews of how the national funding system and GLCCA'S funding rules are being applied, allowing us to identify possible errors in the devolved ASF funding claimed for Greater Lincolnshire residents by Providers, which may require further investigation.

**7.5** To provide further assurance, GLCCA will use the services of the DfE, external auditors, internal staff and/or other appointed suppliers to undertake field- based activity as part of our annual assurance programme of work.

In addition, GLCCA will expect Providers to regularly review their software systems and processes to check for data accuracy. For 2026/27 Providers will continue to be able to access the DfE systems, these are: the funding information system (FIS); the Submit Learner Data facility; Individual Learner Record Reports; and the Provider's data self-assessment toolkit (PDSAT); Funding and Monitoring Reports. These are available here - <https://guidance.submit-learner-data.service.gov.uk/>

### Individualised Learner Record (ILR)

Please see guidance on uploading the ILR here – <https://guidance.submit-learnerdata.service.gov.uk/>

**7.6** ILR data must be submitted to the DfE by uploading a file in XML (extensible mark-up language) format to the DfE's secure online, 'Submit Learner Data', facility and this should be done on a regular basis. If Providers do not have an MI system capable of generating an ILR

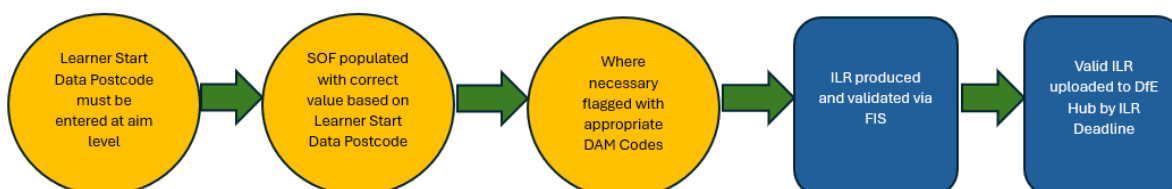
XML file, then Providers should consider using the DfE ILR Learner Entry Tool (please note that this tool is limited in terms of learner numbers that can be entered) which will enable Providers to create an ILR file for submission to the DfE. GLCCA recommend uploading the ILR as a compressed file.

**7.7** As a Provider delivering provision to GLCCA residents, Providers will be required to complete the Individual Learner Record in the 2026/2027 academic year. The DfE will continue to hold ILR data in a single national data set. Providers must upload their ILR data via the DfE facility and cannot submit the ILR data directly to GLCCA.

**7.8** There are a number of changes to how data is to be coded, and Providers should refer to the following documents: Performance Management Framework, Funding Rules 2026/2027 and Funding Rates and Formula 2026/2027. GLCCA will base all monitoring and analysis on aims coded with the GLCCA Source of Funding code (126). This code must be used for all GLCCA residents for whom funding is being claimed. If a Contract for Services Provider doesn't meet the data submission KPI standards, the contract payment may be reduced based on how far off they are. Decision-makers will also consider any improvements made and may ignore very small shortfalls. This applies to both formula and non-formula funded provision.

**7.9** Data recorded on the ILR return will continue to be used to calculate funding earned by Providers and will enable GLCCA, as part of its risk-based performance management arrangements, to compare actual volumes and earnings against the delivery plan agreed as part of Provider's Contract for Services/Grant agreements. The data gathered through the ILR will enable the DfE to generate occupancy reports for both Providers and GLCCA. These will confirm that the learning aim is valid, run the funding calculation and confirm the actual funding earned. It will also be used to monitor progress against payment profiles.

**7.10** The diagram below sets out the steps Providers need to complete when preparing the ILR data for 2026/27.



**7.11** The Learning Start Date Postcode is an important field and should record the postcode of the learner when starting a learning aim, establishing that the learner has a Greater Lincolnshire County Combined Authority postcode. For more information about postcodes, including a postcode look-up tool to help you determine which funding body is responsible for any given postcode, please refer to the [ASF devolution postcode dataset](#).

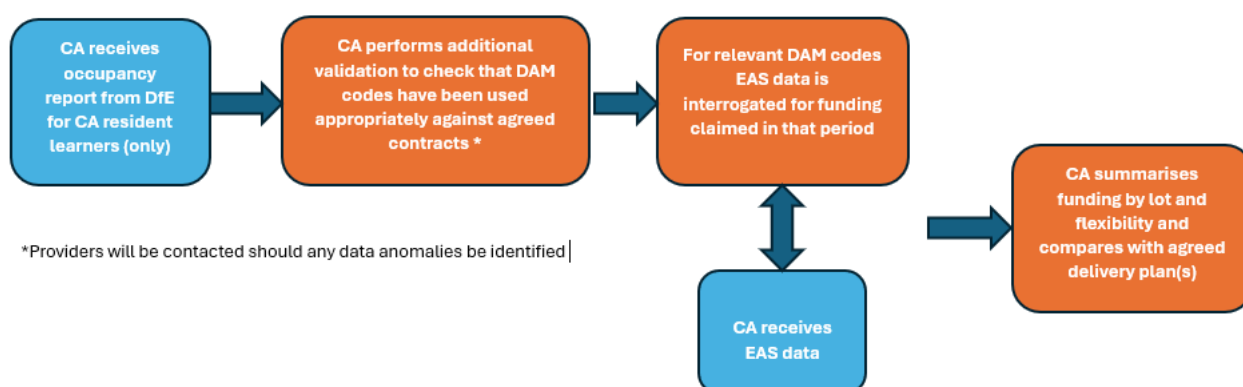
**7.12** There are two changes which have been made to the GLCCA Funding Rates and Formula Guidance to deal with devolved provision:

- New Source of Funding code (SOF) - to enable Providers to identify the Delivery of activity through the Grant/ call off contract supporting GLCCA residents, the code for GLCCA is SOF 126.
- A set of Devolved Area Monitoring (DAM) fields – these are a type of learning delivery funding and monitoring field. Each aim can be flagged with up to six DAM codes but in most

instances one DAM code will be required. The purpose of the DAM codes is to flag learning aims that need to be monitored as part of new flexibility or to identify elements that are being funded via the EAS e.g., learning aims associated with “local flexibilities” will be identified by specific DAM codes. The detail of what Providers need to provide will be dependent upon any future local flexibilities approved by GLCCA.

**7.13** The funding for a resident in some cases will not be generated directly within the ILR but through the EAS report. Where this is the case, the Provider will be required to submit the learner data in the ILR, with an appropriate DAM code, as well as populating the funding claim in the EAS according to the funding generated by that individual learner which can't be claimed via the ILR. GLCCA will fund provision using the details of learner and funding on both the ILR and EAS respectively. GLCCA will make clear within individual contract schedules where this is the case.

#### **7.14** Data Validation undertaken by the Greater Lincolnshire County Combined Authority



**7.15** Once Providers submit an ILR to the DfE it cannot be deleted. If the file contains incorrect data, this can only be corrected by submitting a corrected ILR file to overwrite the incorrect one. The last file submitted prior to the period deadline will be the one loaded into the national database for that return.

#### **Data collection for Tailored Learning provision from 2026/2027**

**7.16** GLCCA invests significantly in tailored learning provision, but the current data collection process does not clearly capture the activity delivered or its impact. We will be asking for information on Tailored Learning provision throughout the year and will work with you to ensure that this is not onerous. Further information requirements for Tailored Learning activities may be introduced in future years.

**7.17** Where a Provider delivers tailored learning provision as part of their offer, GLCCA expects to see that there are relevant routes for progression onto formula funded activity alongside this. Whilst Tailored Learning has a role to play in encouraging wellbeing, community building and social mobility, programmes must not solely be for leisure purposes.

**7.18** We would not expect to see multiple enrolments on similar level courses, or a repeat of similar learning aims where this does not benefit the learner's development.

**7.19** If we fund your organisation through a contract for services, you will not have a tailored learning allocation or access to deliver non-regulated provision.

**7.20** Please see the Funding Rules for 2026/2027 for further details on Tailored Learning

## 8 Payments Reporting & Performance Management

**8.1** For Grant Funded Providers, BACS payments will be made on or before the 18th working day of each month. Details of innovation funding spend will be reported through the funding claim template in line with the requirements in the funding rules. Innovation funding will be paid on actuals following submission of the earning review claim.

**8.2** Following confirmation of that month's ILR, Contract for Services Providers will need to submit an invoice with the correct purchase order details and payments will be made a month in arrears. Failure to quote a valid purchase order will result in the invoice being rejected.

**8.3** All Providers will need to ensure that there is cash flow available to accommodate these payment terms.

**8.4** Providers will be advised in writing in advance of any in-year changes being made to the value of its Grant or Contract for Services. GLCCA reserve the right to cease payments, should Providers be in breach of their Contract for Services/Grant agreement.

### Payment Timeline

**8.5** The normal payment timeline is shown below.

**8.6** For all Providers, Grant/Contract for Services agreement will span two financial years:

- August 2026 to March 2027: periods 5 to 12 of the 2026 to 2027 financial year
- April 2027 to July 2027: periods 1 to 4 of the 2027 to 2028 financial year

**8.7** In the event of an overpayment identified within the academic year, GLCCA reserves the right to adjust future payments to recover the overpaid amount. Conversely, if an underpayment is identified, GLCCA will correct the shortfall through an adjustment in the following month, implemented as soon as the discrepancy is confirmed.

Payments will be reconciliated at R14 via additional payment or invoice.

Day of Month	Action
Workday 4	Provider submits ILR to DfE
Workday 5	DfE runs validation checks
Workday 6	GLCCA receives occupancy report
Workday 7	GLCCA checks accuracy of return
Week 3	GLCCA confirms validated delivery for month and requests invoices, where applicable.
18 <sup>th</sup> of the month	GLCCA BACs run to Grant Funded Providers Innovation Funding claims will be paid separately on receipt of the required

	information, see 3.22.
Provider Discretion	Contract for Services Providers submit monthly invoice. Invoices are paid 28 days from the date of invoice.

## Free Courses for Jobs (FCFJ)

**8.8** The management of the Free Courses for Jobs delegated fund (formerly National Skills Fund Level 3 Offer) will be managed in line with the ASF Governance Process, Performance Management Framework and Funding Rules.

**8.9** Grant funded Providers with an allocation for the Free Courses for Jobs offer must ensure that the aims that are claimed align to those on the Level 3 list agreed with GLCCA (Grant Provider specific) and flagged with LDM code 378.

**8.10** Contract for Services Providers with an allocation for the Level 3 Adult Offer must ensure that the aims that are claimed align to those on the Level 3 list agreed with GLCCA and flagged with LDM code 378.

## Funding Reports for Providers

**8.11** DfE will provide all GLCCA Providers with the following funding reports in respect of their ASF provision in devolved areas:

- Devolved Adult Education Occupancy Report - This is the detailed report for devolved adult education, containing information about the learning aims, the learner and the funding generated each month. This report includes learning aims recorded with a Source of Funding 126 (SOF) for GLCCA and either Funding model 38 (Adult skills) or Funding model 11 (Tailored Learning).
- Devolved Adult Education Funding Summary Report - This is the summary report for earnings recorded under devolved funding model 38 (Adult skills) split by each devolved authority. This report aggregates the funding for each month by funding age band, by programme and key funding line type. It also combines earnings from the ILR and the EAS.
- Non-Contracted Devolved Adult Education Activity Report - This report shows learning aims for devolved adult education (funding model 38 and 11) where the ILR details for the learning aims have passed validation and there are calculated earnings, but where there is no contract between the devolved authority and the Provider.

## 9 Audit & Assurance

**9.1** GLCCA are required to submit a statement setting out various assurances over ASF Delivery to the Department for Education on an annual basis. This is in addition to existing statutory and other legal and public sector assurance requirements for us to demonstrate public funds distributed and used by us are being spent appropriately.

**9.2** As part of our approach to monitoring Provider's performance, we will undertake audit and assurance activities to ensure that the funding is deployed in the way it was intended. This includes finance activities and internal audit Provider reviews.



**9.3** The focus of the audit activities in 9.2 will be to provide assurance that:

- The systems, processes and internal controls Providers have in place ensure that they submit timely and robust data to the DfE and the GLCCA and they are compliant with statutory and contractual requirements.
- Providers are delivering provision in line with data submitted and evidence exists to support the earning review claims; and
- Corrective or preventative action is being taken where appropriate to rectify any issues identified during the audit activity.

**9.4** All Providers are in scope for audit and risk rating at least once every year that they are in a funding agreement with us, and more frequently if concerns have been raised through the risk assessment process.

**9.5** An audit may include, but not be limited to, a review of:

- Key background documentation and sources of assurance
- Relevant internal GLCCA ASF documentation
- The Provider's relevant systems, processes and documentation
- Policies provided as part of the contract assurance and due diligence process
- How the systems and processes between our Providers, our internal/external teams, the DfE and any other Combined Authorities are working.

Additionally:

- Interviews with key GLCCA ASF staff on the Provider's performance
- Interviews with key Provider staff and learners, where necessary
- Detailed testing on samples of learner files; and
- A high-level review of the Provider's approach to Equity, Diversity and Inclusion

**9.6** Following the review, feedback will be provided which will make recommendations where areas of non-compliance are found. Action to be taken, including any changes needed to the ILR and any payments due back, will be monitored via the performance management reviews.

**9.7** Audit follow up reviews will be conducted as necessary.

**9.8** If allegations or information are received by us under our Whistleblowing Policy, that relate to concerns regarding the financial management and/or governance of the Providers or one of their sub-contractors, the matter will be investigated in line with our Counter -Fraud and Anti-Corruption Policy and any agreed joint working protocols with any other affected partner organisations, including the DfE and other Combined Authorities/the Greater London Authority (GLA).

**9.9** Assurances from external auditors and others where appropriate will also be sought in line with the latest DfE Post-16 Audit Code of Practice.

**9.10** The assurance over Higher Education institutions in respect of ASF funds remains the responsibility of the Office for Students (OfS).



## 10 Progression and Destination Data

**10.1** Progression and destination data is an important measure showing the success of the Adult Skills Fund in Greater Lincolnshire.

**10.2** All providers must supply progression data, where this is not available through the Greater Lincolnshire ILR data, and both intended destination at the end of course delivery, and actual destination data. This applies to regulated and non-regulated learning. Actual destination data should be collected for as many learners as possible in line with the contract specification in order to support curriculum planning and development, however, GLCCA recognises that different types of courses should be treated differently.

**10.3** For learners on Tailored Learning programmes this requirement for destination data will be satisfied by completion of the Tailored Learning Outcomes field. Further information may be requested on the proportion of Tailored Learning learners progressing to employment or further learning.

**10.4** This progression and destination data will ensure that GLCCA directs its funding to those courses which provide excellent opportunities and have the highest level of impact on people's life chances and futures. The data will also be used to evaluate the programme's success in filling skill gaps in specific industries and geographical areas.

**10.5** Actual destination data should be submitted at the end of each term and we will work with you to agree the required template for this.

## 11 Prior Learning/Attainment Levels

**11.1** The purpose of the Adult Skills Fund is to support Greater Lincolnshire residents with no or low qualifications. It is expected that prior attainment will be recorded accurately on the ILR for all learners and this will be monitored as part of Performance Reviews.

## 12 Distance and Online Learning

**12.1** We appreciate that online and distance learning add flexibility to the curriculum by supporting adults in a way that suits their lives.

**12.2** Where online learning is being delivered, there must be a clear rationale for proceeding with online delivery and the expectation is that quality of education is maintained.

**12.3** GLCCA classes courses as Online / Distance Learning where the majority or all of the learning is being delivered remotely and the table below confirms our definitions.



Term	Definition
Hybrid or Blended Teaching	A model that combines online activities and traditional face-to-face teaching methodologies, ie some sessions of the course are delivered online and the remainder taught in a physical classroom.
Virtual classroom	An online learning environment supporting live interaction between the tutor and the learners as they are participating in learning activities – ie a shared online space where the learners and the tutor work together simultaneously.
Distance/Online Learning	Self-directed or facilitated self-directed learning which can be undertaken at a time and place of the learner's choosing with no live tutor present.

**12.4** The expectation of the GLCCA is that learning delivered online, whether Hybrid/ Blended, a virtual classroom or self-directed learning, achieves the same high-quality, learner-centred standards as in a physical setting.

## 13 Feedback from Learners

**13.1** Learner Views are important to the GLCCA. It is important that all learners can express their views to the authority to help GLCCA assess the impact of the funding. This also applies to employers and any other key stakeholders.

**13.2** The aim is to develop a genuine culture of inclusivity within which the views of learners of all abilities and backgrounds are valued. The learner's voice is an integral and effective part of the quality improvement arrangements.

**13.3** Activities which may be considered as supporting this aim include, but are not limited to:

- Productive and well-considered data produced through learner surveys and other feedback which lead to a range of improvements for learners.
- Learner involvement activities which are particularly productive in increasing learners' social confidence and in the development of applicable, vocationally related skills.
- Productive use of employer feedback to ensure that learners' work-related experiences are responsive to local needs.
- Wide variety of effective strategies, including comprehensive learner surveys, to capture the voice of all learners.
- Providers must give all learners the opportunity to provide feedback via learner focus groups, compliments and complaints received and use this to inform improvements to the overall programme.

**13.4** Providers are required to submit at least one learner case study per funding stream (TL / ASF / FCFJ etc) per term. Any material submitted may be used to share best practice and Providers must ensure learners' consent is obtained for this purpose, if names and/or photographs are included.



## 14 Feedback from Employers

**14.1** Providers funded through the GLCCA Adult Skills Fund will be required to collect feedback from those Employers who have benefitted from ASF investment in their workforce, focussing on filling skills gaps and developing skills for progression.

## 15 Feedback from Providers

**15.1** An annual evaluation of provision will be undertaken to understand the impact of these new arrangements. The GLCCA wants to understand if the arrangements have led to improved outcomes for learners.

**15.2** Providers are required to contribute to the evaluation of Adult Skills funding for the GLCCA's annual impact report.

### Contacting us

If you have any questions after reading this document, or if there's anything else you need help with, you can contact [devolvedadultskills@lincolnshire.gov.uk](mailto:devolvedadultskills@lincolnshire.gov.uk)

