

# Pathway Apprenticeships

## Phase 1b

# Programme Specifications

## Version History

Version	Revision(s)	Approved By	Date
1	First Publication for PCS		03/12/2020
2	Clarification on Leaving Codes (9.2)		25/02/2020

## Abbreviations

Term	Meaning
PA	Pathway Apprenticeships
MA	Modern Apprenticeships
GA	Graduate Apprenticeships
AAG	Apprenticeship Approvals Group
SSO	Sector Skills Organisations
FA	Foundation Apprenticeships
SDS	Skills Development Scotland
SCQF	Scottish Credit and Qualifications Framework
SQA	Scottish Qualifications Authority
DWP	Department for Work and Pensions
ITA	Individual Training Account
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations
FIPS	Funding Information and Processing System
SIA	Skills Investment Adviser
CIAG	Careers Information and Guidance
IA	Initial Assessment
LP	Learning Plan
TA	Training Agreement
SCN	Scottish Candidate Number

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# 1. Context

## 1.1 Context

In direct response to the significant disruption within the skills system caused by COVID-19 and to ensure that young people are offered the best chance of employment and accessibility to apprenticeships, SDS has developed Pathway Apprenticeships. Pathway Apprenticeships (PA) are designed to provide individuals with the opportunity to develop knowledge, technical skills and meta skills that prepare and enable them to access Modern Apprenticeship (MA) opportunities or progress to other positive destinations in line with their career aspirations.

As a new, innovative programme, PA will be under periodic review to enhance and refine the programme and will utilise practical delivery and in field experience from Providers, Participants and stakeholders to continuously improve. Initial frameworks developed for PAs are in sectors which align to potential future employment opportunities and apprenticeships and reflect the needs of each sector.

Key work-based pathways have been identified that support achievement of Scotland's future economic vision, providing work ready individuals who can access hard to fill roles or respond to local demand. PA is aimed at supporting individuals who have reached their school leaving age up to the age of 18 and who are not in receipt of benefit, with the exception of the Kickstart programme, detailed below. PA allows individuals to gain an industry recognised, endorsed route to an apprenticeship and sustainable employment.

Upon successful completion, Participants will be awarded an SQA customised award at SCQF Level 5 or 6, dependent on the framework completed. This programme aims to deliver tangible and defined outcomes for all Participants, incorporating formal components of an apprenticeship, which are accredited and certified.

PA has been designed to offer wider approaches to assessment that accommodate working remotely or remote employer support where work-placements either physically or remotely are not available. All Pathway Apprenticeship frameworks include a Work Based Challenge Unit, (see Appendix 1) either incorporated within the underpinning qualification or to be delivered alongside the qualification. These customised units have retained the requirement for employer engagement, through practice based activities to contextualise the same underpinning knowledge and understanding requirements of their respective qualifications. The normal duration of the programme is 26 weeks and there is also additional flexibility to extend this up to 52 weeks where the Participant is care experienced or has a disability.

SDS are working with Scottish Government, DWP and Kickstart Gateway Organisations with the aim of offering the Pathway Apprenticeship opportunity to Kickstart participants who are aged 16-24 and in employment.

## 1.2 The Apprenticeship Family

### 1.2.1 Modern Apprenticeships

MA training enables individuals in paid work the opportunity to develop and learn new skills from SCQF Level 5 to Level 12. This includes technical and professional levels, and training to support upskilling new and existing staff.

The dual purpose of the MA Programme is to support individuals to learn while in work and to encourage economic growth across Scotland. MAs are a joint investment between employers and the Scottish Government. Employers invest the greater amount through wage costs and ongoing support and public funding contributes towards the cost of training.

In Scotland, there are at present over 85 different MA frameworks in 17 occupational groupings. They are each designed to provide training that meets minimum standards of competence agreed by Apprenticeship Approval Group (AAG), after consulting with employers.

Details of AAG approved MA frameworks are published on [www.apprenticeships.scot](http://www.apprenticeships.scot). Sector Skills Organisations (SSO), working with employers and key stakeholders in their industry develop MA frameworks to meet the employers' skill needs. For more information, see [www.apprenticeships.scot/become-an-apprentice/modern-apprenticeships](http://www.apprenticeships.scot/become-an-apprentice/modern-apprenticeships)

### **1.2.2 Foundation Apprenticeships**

FAs provide work-based learning opportunities for secondary school pupils in their senior phase. They create strong links between education and employers to help pupils make informed choices about their post school destinations including vocational pathways. They represent a fundamental change in the approach to offering work-based learning in the senior phase of education – providing valuable skills and real qualifications. Based on existing and successful MA frameworks, FAs enable pupils entering S5 to complete elements of a MA framework. Delivered in partnership by schools, employers and learning providers, such as colleges, Local Authorities and learning providers, FAs usually take two years to complete. Shorter duration types of FA frameworks are also available.

SDS reserves the right to make deductions from the contribution rate for any relevant, prior achievements from PA starts who have undertaken an FA.

For more on FAs, see [www.apprenticeships.scot/become-an-apprentice/foundation-apprenticeships/](http://www.apprenticeships.scot/become-an-apprentice/foundation-apprenticeships/)

### **1.2.3 Graduate Apprenticeships**

SDS has developed Graduate Apprenticeships as a way for individuals to develop the necessary knowledge, skills and competence required by Scottish industries. By building on the success of SDS' existing Foundation and Modern Apprenticeship Programmes, Graduate Apprenticeships give individuals an opportunity to be in paid work while gaining qualifications from DipHE up to Masters' level from SCQF Level 8 to 12. These have been developed with employers which ensures that learners gain the knowledge and skills they need for their chosen work area.

For more on Graduate Apprenticeships, see [www.apprenticeships.scot/become-an-apprentice/graduate-apprenticeships](http://www.apprenticeships.scot/become-an-apprentice/graduate-apprenticeships)

## 1.3 Pathway Apprenticeships Services

This document is the PA Specification that applies to the delivery of new starts for PA services by Providers (“you”) between start date of contract and 31<sup>st</sup> March 2022. Please note that PA starts can only commence up until 31 March 2021 with the remaining part of the duration for those in-training until completion of their PA for a period of up to 26 weeks, 36 weeks or 52 weeks. This Specification also states the principles behind publicly funded support of the PA programme.

You must operate within all the terms and conditions of your PA contact, including the ITT, this Specification and the Conditions. If you break any of your obligations under your contract, including any of the Conditions, you are in breach of the contract with SDS.

After any breach, SDS is entitled to take action against you. This may include putting a hold on your ability to make claims; recovering sums paid to you; withholding payments you have claimed; withdrawing volumes awarded to you; requiring you to complete and fulfil an action/improvement plan; and suspending or terminating your PA Contract.

As a Provider, you must also:

- ensure that all contractual obligations, administrative and compliance requirements by SDS and of the awarding bodies and Sector Skills Organisations (SSO) are met before you begin delivery and throughout your contract;
- be or be working with an approved centre that is registered with the relevant SQA Accreditation approved awarding bodies and SSOs to deliver the qualifications you are bidding for in your ITT response;
- have staff that are competent in delivering work-based learning, assessments and verification of Vocational Qualification (VQ) units as set out by the relevant Awarding Body’s quality assurance requirements. This will be in line with SQA Accreditation’s regulatory requirements - [https://accreditation.sqa.org.uk/accreditation/Regulation/Regulatory\\_Requirements](https://accreditation.sqa.org.uk/accreditation/Regulation/Regulatory_Requirements)
- ensure that the delivery of your PA programme meets the needs and expectations of the Participants, employers and stakeholders;
- ensure that your delivery staff, employers and the employees of organisations directly involved in delivering the PA programme are inducted into its objectives, understanding the Participants needs and the integral element of work-based learning throughout the delivery of your contract;
- not charge any Participant for any of your Services including training costs;
- ensure that no other public funding is accessed to support the delivery of this programme. Pathway Apprenticeships are exclusively funded by Skills Development Scotland.
- ensure each Participant received the necessary training to meet the requirements of their PA qualification and provide advice and guidance to support each Participant and assessment to achieve their qualification. For information on how to deliver quality work-based learning, see the SDS Quality Assurance and Improvement Framework.

## **1.4 Pathway Frameworks**

### **1.4.1 Framework**

Social Services and Healthcare at SCQF Level 6 is the framework open for procurement in Phase 1b.

This specific framework has been selected due to considering the following:

- Potential individual and employer demand
- History of youth starts
- Current apprenticeship recruitment activity
- Alignment with Scottish Government industry/growth policy
- Equality and diversity profile
- Delivery mode where there is likely to be limited access to the workplace

You will find more detailed information about these frameworks and qualifications in Appendix 1 – PA Framework Information.

## **1.5 Entry Levels**

The Provider must set entry criteria for proposed Participants that is appropriate and proportionate to the skills level required for the PA framework.

## **1.6 Minimum Training Hours**

Participants must undertake a minimum of 25 hours per week of formal training delivered by the provider. Please note self study or self learning does not constitute formal learning and must not be included in the 25 hours.

## **2 Pathway Apprenticeships Offer**

### **2.1 Funding Contribution**

SDS administers the Scottish Government's public funding contribution towards the cost of the Services. Pathway Apprenticeships are exclusively funded by Skills Development Scotland.

### **2.2 Funding Model**

PA funding is based on four different types of payment:

- start payment (includes management fee),
- output payment on completion of the qualification,
- outcome payment where the Participant secures employment/apprenticeship within 26 weeks of their leaving date as entered in FIPS and
- a weekly training allowance payment

SDS will pay you for provision of the PA Services in accordance with the PA Conditions in respect of the Participants recruited and Outputs and Outcomes achieved in line with each Contract Schedule and with the Funding Model for the specific framework values which can be found in Appendix 5 of this Specification.

The evidence required to support payments is detailed in Part 7.2 of this Specification.

## **2.3 Training Allowance**

All Participants will be entitled to receive a training allowance, paid by SDS, of £100 per week. To be eligible for the Training Allowance, Participants must not be in receipt of DWP benefits and must attend training for a minimum of 25 hours per week. Please not self study or self learning does not constitute formal learning and must not be included in the 25 hours. Providers are entitled to claim this for a period of up to the maximum duration of weeks for the specified framework. Providers must retain evidence of the Participants attendance. Kickstart participants are not eligible to receive a training allowance.

## **2.4 Individual Training Accounts**

Participants may not use SDS Individual Training Accounts (ITAs) - and any replacement programme - to fund training delivered as part of the Pathway Services or for any elements of the Learning Plan. Participants in the Pathway programme may not apply for SDS ITA funding (or any replacement programme) or to renew an existing account for SDS ITA funding whilst participating in a Pathway Programme.

# **3 Policies, Procedures and Systems**

## **3.1 Equal Opportunities Policy and Procedures**

Under the Equality Act 2020, SDS has a Public Sector Equality Duty to promote equality of opportunity in its products and services. This applies to all protected groups under the legislation. SDS also promotes and supports the needs of care experienced young people through our duties under the Children and Young People Act 2014. You must ensure that in delivering the PA programme no acts of discrimination take place (as defined in the Equality Act 2010), and that you take steps to ensure equality of opportunity regarding the recruitment and achievement of customer groups.

<https://www.skillsdevelopmentscotland.co.uk/media/45855/ntp-equality-support-guide-2019.pdf>

## **3.2 Reporting and Investigating Incidents**

You must immediately notify all Reportable Incidents to the relevant authority as required by RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations). If a Reportable Incident occurs while a Participant is conducting activities relevant to the PA programme, you must ensure SDS is informed immediately by contacting your assigned contact by phone and e-mail. These conditions do not affect the statutory duty of any person to notify a death, injury, disease or dangerous occurrence.

### 3.3 Funding Information and Processing System

Funding for PA Programme will be administered through FIPS in line with SDS requirements. Through duly authorised and appropriately qualified staff you must ensure all the information collected for FIPS and input to FIPS is up to date, is accurate, is entered in to FIPS in good time and complies with SDS FIPS Guidance (as amended from time to time).

To use FIPS as prescribed in the PA Contract awarded, you must obtain annually for the Contract, a User Permission for each user of the FIPS Software. SDS will give you all information about each User Permission including the terms and conditions, and charges and guidance on how to request/grant/amend the permission. SDS will make User Permissions available to you or, at our discretion, set them out in SDS Provider Web Pages available through <https://www.skillsdevelopmentscotland.co.uk/for-training-providers/fips-funding-information-and-processing-system/> .

You must complete a FIPS Delegated Authority firm annually basis and notify SDS of any changes in line with the User Permission guidance. You must always keep to SDS security guidance and ensure FIPS passwords are reviewed regularly and updated in case of changes to staff or contacts (or both).

### 3.4 Information Security Policy and Procedures

You must have due regard to data protection and the security of information. You must comply with SDS Information Security and Data Handling Requirements (Appendix 4 of the PA Conditions) as amended by SDS from time to time, including the encryption of data being transferred electronically.

### 3.5 Promotion of Fair Work Practices

The public sector in Scotland is committed to delivering high-quality public services. It recognises that this depends on a workforce that is well rewarded, well motivated and well led, has access to appropriate opportunities for developing training and skills, is diverse and is engaged in decision making. These factors are also important for workforce recruitment and retention and continuity of service. Public bodies in Scotland are adopting Fair Work Practices. The Scottish Government has set out a Fair Work Action Plan <http://economicactionplan.mygov.scot/fair-work>.

Further information on SDS' Fair Work Practices is as follows:

SDS' Corporate Plan includes our ambition to become an exemplar of Fair Work, in line with the work of the Fair Work Convention <http://www.fairworkconvention.scot/>. This includes our commitment to fair pay and reward as a Scottish Living Wage accredited employer <http://scottishlivingwage.org/> and [https://scottishlivingwage.org/accredited/skills\\_development\\_scotland/](https://scottishlivingwage.org/accredited/skills_development_scotland/)

To ensure the highest standards of service quality in this contract, you must take a similarly positive approach to fair work practices with performing your Services, as part of a fair and equitable employment and reward package. You must also comply with all the undertakings you gave in your ITT response regarding fair work practices.

When marketing your services to employers and Participants, you must take appropriate action to promote the benefits to employers of operating fair work practices. Best practice guidance is available at <http://www.gov.scot/Publications/2015/10/2086/0>.

In this promotional activity, you are expected to mention any wage rates agreed by relevant industry bodies.

## **3.6 Promotion of other SDS Initiatives**

### **3.6.1 Apprenticeships.Scot**

You must use your best efforts to promptly post any suitable apprenticeship vacancies on [www.apprenticeships.scot](http://www.apprenticeships.scot) and raise awareness of this website with employers you work with.

### **3.6.2 My World of Work**

You must use your best efforts to encourage each Participant to register on the SDS My World of Work web service at <http://www.myworldofwork.co.uk/> during the Participants induction to the programme. From time to time, SDS will compare the number of your Participants registered on FIPS against the number registered on My World of Work.

### **3.6.3 Modern Apprenticeships, Foundation Apprenticeships and Graduate Apprenticeships**

You must use your best efforts to promote SDS's Apprenticeship family to employers and suitable Participants.

### **3.6.4 Other SDS Products and Services**

Stay up to date with the latest news from SDS by signing up to our Provider newsletter <http://www.skillsdevelopmentscotland.co.uk/for-training-providers/> You must use your best efforts to promote other relevant SDS products and services that we will bring to your attention from time to time.

## **3.7 Quality Assurance**

The Quality Assurance and Improvement Framework sets out standards designed to assess how far you deliver quality learning and assessment services that focus on the needs of Participants and employers. You must meet minimum standards and take action to strive for improvements in your delivery. A copy of the current SDS Quality Assurance and Improvement Framework is available on the SDS [Quality Assurance Improvement Hub](#)

The Quality Assurance and Improvement Framework may be amended from time to time by SDS and the revised version made available on the SDS website.

SDS will make available a self-Assessment and Quality Action Plan on which you must evidence your achievements and planned improvements against the Quality Standards stated in the Quality Assurance and Improvement Framework. You must give SDS a copy of your plan for our review and acceptance. Subject to any alternative arrangements SDS may inform you of in writing, SDS staff will periodically visit you to review the supporting evidence you hold. A Quality Assessor will be assigned to work with you and will be in touch when your PA contract commences to advise you of your Self-Assessment dates and obligations.

Except where otherwise confirmed, SDS will use your Self-Assessment and other appropriate evidence, to assess you against each of the Quality Standards. SDS may examine a range of evidence as indicated in the SDS Quality Assurance and Improvement Framework. SDS will routinely monitor you on an ongoing basis regarding the Quality Standards. SDS will also undertake formal reviews of providers using a risk-based approach. SDS may not formally review you during the PA Contract. SDS may publish its findings on each such review, on the SDS website. If you are subject to any alternative quality standard assessment process, for example, Education Scotland 'How Good is Our College?', you must meet the requirements of that process regarding the quality of delivery of PA.

You should ensure your Quality Action Plan is kept up to date and liaise with your SDS assigned Skills Investment Adviser (SIA) on the progress of improvement actions. If, however, following a quality assurance visit, a material change is required to the Quality Action Plan, you must agree it with your Quality Assessor before returning the revised Quality Action Plan to your SIA for ongoing quality assurance monitoring.

If you fail to achieve a grade of at least satisfactory regarding any of our quality standards at any time (whether through SDS's own examination, or another such quality standard assessment), SDS will regard this as a breach of the PA Contract.

Breaches include failure to submit a Self-Assessment and Quality Action plan acceptable to SDS; and an SDS formal quality review or an Education Scotland Thematic review where one or more grades are weak or unsatisfactory. In addition to SDS's other rights and remedies, we may include performance against the quality standards as a minimum requirement or evaluation criterion (or both) in future SDS contracts.

### **3.8 Provider Controls and Assurance**

You must always have in place management processes and controls to ensure that: you are meeting your contracted obligations; all your staff involved with the PA programme are aware of all its requirements; you promptly identify and disclose to SDS any actual or potential conflict of interest; and there is clear segregation of duties that provide a check that the PA Programme Specification and Conditions are followed.

If you are no longer providing training or assessment services to Participants and have no outstanding claims for payment under the PA contract, you must comply with your contracted obligations for the rest of the retention period as set out in the Records, Audit Access and General Assistance condition contained in the Conditions.

### **3.9 Signatures**

You must ensure that all required signatures are original on all of our documentation. You must also ensure that key controls are in place to ensure that all signatures on all forms and documentation are genuine.

By original, we mean a signature used where there is knowledge of and an intent to sign a specific document.

Copies (including scanned copies) of the original document or form with the required signatures are acceptable for payment assurance purposes.

We accept both electronic and digital signatures, providing the following criteria is met:

- The signature must be representative of their handwritten signature (no typed signatures will be accepted);
- Your signature platform complies with EIDAS Regulations; <https://ec.europa.eu/digital-single-market/en/trust-services-and-eid> ;
- You must be able to provide us with an audit trail of the signatures gained, on request.

Any irregularity in required signatures may be deemed a breach of your contract.

### 3.10 Awarding Body Notification and Reports

You must notify your SDS assigned SIA immediately when either of the following arise:-

- Any hold is placed on accreditation you have with an Awarding Body.
- Any sanction is imposed on you by an Awarding Body that may affect a Participants achievement.

Each Awarding Body External Verifier's Report must be made available to the appointed SDS assigned SIA, for quality monitoring and compliance purposes, within seven calendar days of your receiving it if the report contains any formal actions, and otherwise, immediately on demand by SDS.

## 4 Eligibility

A person is eligible for the PA Programme if:

- They are aged 18 or under, and have reached their statutory school leaving date;
- The SCQF Level is the most appropriate level for the person to ensure they have an optimum opportunity of successful achievement;
- They are able to participate fully in the PA training and attend as required by the PA provider;
- They are progressing from successful completion of an Employability Fund Programme.
- They are participating in a Kickstart programme (16-24 age group) as an employed status participant of Pathway Apprenticeships (note training allowance does not apply to such a participant).

You are responsible for ensuring that the Participant at all times meets the eligibility criteria and must notify SDS in the event that a Participant is no longer eligible in order to determine whether the individual may continue. SDS shall not be liable for any payments claimed in respect of any Participant who was not eligible to participate in the PA programme for which any claim is made, except to the extent the SDS assigned Skills Investment Advisor has provided prior written approval (to be granted entirely at SDS' discretion). Eligibility must be confirmed in the Participants Referral form (Appendix 2). The Referral Form is a mandatory document.

The following groups are not eligible for the PA Programme:

- An overseas national who is subject to an employment restriction or to a time limit on their stay in Great Britain or both except where the individual is a refugee or overseas national where the Biometric Residence Permit (BRP) which is provided by the Home Office shows they have the right to work regardless of the time shown;

- A person at the same time on any employment, training or enterprise programme funded by any Government department or by SDS (subject to any exceptions published by SDS from time to time);
- A person in custody as a prisoner or on remand in custody;
- A person in receipt of DWP benefit;
- An overseas national who is subject to any funding restriction which would apply to the PA Programme;
- Those in education;
- Those in employment; or
- Those who have achieved a Foundation Apprenticeship in the same framework.

## 5 Referral Process

### 5.1 Referrals

The organisations named as Referring Organisations in the table below are responsible for the following:-

- Assessment of individual eligibility, need and suitability to the Pathway; and
- Referral to the appropriate Provider

Referring Organisation	Designated Staff
SDS	SDS Regional Operations Staff/CIAG
PA Provider Referral	Each Provider with a current SDS contract for the delivery of PA shall decide which staff within the Provider can make referrals to the PA

### 5.2 Provider Information for Referral Organisations

SDS will notify the Referral Organisations of the contracted Providers once all the contracts are in place.

### 5.3 Referral Form

For all referrals, the Referring Organisation must check the eligibility, complete an assessment of the suitability of the PA Programme to ensure it meet the needs of the individual and record a summary of each assessment in the Referral Form (Appendix 2). You must take this information into consideration as part of the initial assessment process outlined in paragraph 8.1.

Following receipt of the referral, you must undertake an assessment of the individual to verify the suitability of the PA programme for the individual. You must not accept an individual where you do not agree with the suitability of the referral. You must ensure that the referral form is fully completed, including signatures.

For all Participants, you must retain a copy of the Referral Form signed by both the individual and the Referring Organisation as evidence of eligibility and suitability. Where this is not held, the individual must not commence the PA programme.

## 6 Programme Entry

### 6.1 Initial Assessment and Learning Plan

Each Participant must undergo an Initial Assessment (IA) to demonstrate that they have good prospects of success in completing the selected PA programme, with the appropriate training and support from you, and where appropriate, the workplace employer. This is a mandatory requirement for all Participants.

The IA should take account of the proposed Participants career pathway and associated requirements for skills development. During the IA, you should utilise relevant evidence (e.g. from aptitude and/or skills test, interview, referral form, FIPS (for returners), report from SDS work/careers coach or other agency worker). You must share the results of the IA with the proposed Participant and use the outcome results to develop the Learning Plan.

The results of the IA should help to develop a tailored Learning Plan for the Participant and be shared with them. The findings of the IA and the Learning Plan should be consistent with the Training Agreement, inform the planned training and support the Participant Progress Reviews.

When documenting the IA, you should ensure the following:-

- The Participants' prior learning is adequately reflected;
- The Participants' needs are assessed and any support required is documented;
- Any change to the standard duration is specified which is reasonable in light of the Participants' assessed needs;
- The support required and the nature and level of any Qualification aimed at are specified.

When developing the Learning Plan, you should ensure the following:-

- The content of the Learning Plan corresponds to the findings of the IA;
- Goals and objectives are set which relate to progression towards the completion of the framework and these are made clear to the Participant and documented by you;
- The Participant plays a key role in the development of their learning plan and is able to contribute towards it, understand their goals and reflect on their achievements;
- Any details of attendance and learning that takes place in the workplace is captured.

You must retain the documents you use for the Initial Assessment and Learning Plan to evidence that you have undertaken this activity and for your own quality assurance purposes and be able to provide this to SDS if requested.

### 6.2 Training Agreement

Within nine calendar days of the Participants' Start Date as entered on FIPS, the TA (Appendix 3) must be fully completed and agreed between you and the Participant. The TA must be completed and signed before any information is input on FIPS. You must use only the SDS issued form of TA.

For each Participant, you must:

- Make a copy of SDS' current Privacy Notice (available on <https://www.skillsdevelopmentscotland.co.uk/about/policies/privacy/>), available to the Participant and ensure the Participant has an appropriate opportunity to consider its contents before signing the TA;

- Ensure the Participant accurately completes, signs and dates the TA.

If there is a change to the Participants:

- Start Date;
- Framework

Then you must ensure that a new TA is completed and signed immediately by you and the Participant and the changes are updated in good time on FIPS using the Change of Circumstance process.

If there is a change to the Participants:

- Date of Birth; or
- NI Number

Then you must ensure that the original TA is updated and initialled immediately by you and the Participant and the changes are updated in good time on FIPS using the Change of Circumstances process (as outlined in FIPS Information Page of the SDS website).

For all other changes, including Email Address, Phone number and Expected End Dates you must ensure that the original TA is updated and initialled immediately by you and the Participant and the changes are updated in good time on FIPS.

### **6.3 Equality Monitoring Form**

The Equality Monitoring Form in Appendix 4 must be given to all Participants to complete at the same time as the TA. This should be recorded and disposed of in line with the requirements set out in Appendix 4.

### **6.4 Entering an Assignment on FIPS**

As soon as the TA has been completed, agreed, signed and dated by all parties, you must enter the Participant details required in FIPS. These include the mobile/phone number and unique email addresses of the Participant. A unique email address is a personal email address used and accessed only by the intended recipient.

You must not register a proposed Participant as a Start on FIPS unless you hold a current accreditation relevant to the proposed Participants qualification, from the relevant Awarding Bodies.

A person becomes a Participant only when an assignment has been approved on FIPS.

### **6.5 Registration with the Awarding Body/Sector Skills Organisation**

No later than the Participants start date you must enter each Participant with an Awarding Body, identifying which Qualification the Participant will work towards during their training. You must enter the Participant to SQA for the relevant Group Award as well as the relevant units for the Qualification. Unit entry alone is not acceptable. You must enter each Participant for the certification unit on completion of all framework components. You must also enter a Scottish Candidate Number (SCN) onto the Participants record.

Before making a claim, you must hold on file and retain for audit purposes the formal evidence of entry from the Awarding Body, including the confirmed date.

## **6.6 Induction to the PA Programme**

It is essential that you carry out an induction to the PA programme with the Participant to ensure they understand their commitment and contribution to the completion of the qualification, as well as SDS' and the Providers.

Induction should include, for quality purposes:

- A meaningful and informative introduction to the PA framework and programme, i.e. what is it, how does it work, what does it mean to be on PA?
- Familiarisation to the PA programme, i.e. how this will be delivered, who their main contacts are
- Behaviours and expectations from all parties
- Ensuring the Participant is aware of your equal opportunities policy and the actions they should take if they feel they are being bullied or discriminated against

You should also ensure the Participant is aware of the role of SDS relating to the programme, including details of the financial contribution by SDS.

## **6.7 Participant Progress Review**

The Participants progress must be regularly reviewed and assessed. You must carry out reviews with the Participant at least every 28 calendar days throughout the programme, until the end date is recorded and evidenced on FIPS. The information recorded in the review should relate to the activity undertaken at the IA and learning plan stage and should act as a review against the findings, with particular focus on the goals and objectives set out initially in their learning plan.

# **7 Payments and Claim Process**

## **7.1 Claiming Payments**

Start payments, Output Payments and Outcome Payments can be claimed when you have fully complied with your obligations under the PA Provider Contract for that activity. For the avoidance of doubt, for each payment that relates to Participant activity, outputs or outcomes, the claim shall not be completed (and a claim shall not be submitted) until the Participant has fully satisfied the activity/output. Evidence of achievement must be held in advance of you making a claim and must be retained for SDS audit.

In order to ensure that the Awarding Body records of Participants results are up to date and accurate, you must enter unit achievement to the appropriate Awarding Body database/system as soon as reasonably practicable after the Participant completes each unit, and additionally, when a Participant leaves, no later than four weeks after the Participants leaving date.

The Participant portfolio must be made available immediately on request by SDS. When the Provider has previously fulfilled activity, the Provider is not entitled to submit a claim in respect of that activity. For clarity, the Provider is not entitled to claim in respect of the activity fulfilled previously, or any activity which the Provider chooses to repeat.

## **7.2 Payments to Provider**

SDS will pay the Provider the Start Payments, Output Payments and Outcome Payments in accordance with the Funding Model set out in Appendix 5.

Providers must not submit a claim for payment until they are in possession of the required evidence detailed below.

### **7.2.1 Start Payments**

The Training Agreement has been signed by the Participant and the Provider, is accurately completed and the Participant is registered and approved on FIPS.

### **7.2.2 Output Payments**

Before submitting a claim to SDS for an output payment, you must hold evidence of achieving all components of the PA in line with the framework. You can claim for achievement which occurs no later than 13 calendar weeks after the date the Participant left the PA Services to commence their employment.

#### **7.2.2.1 Copy Certificates**

Copy certificates are acceptable as evidence for monitoring purposes. Where SQA is the Awarding Body, evidence of “entry status code 5”, meaning a certificated result with date of certification, is acceptable as evidence for monitoring purposes.

### **7.2.3 Outcome Payments**

A job outcome can be claimed if a Participant progresses to a job within 26 weeks of leaving PA and has been in that job/apprenticeship for a minimum of 60 hours in total over four consecutive weeks. The evidence is a fully completed, signed and dated Job Outcome form (Appendix 6).

## **8 Completion of the PA Programme**

### **8.1 Completion**

Participants will remain on the relevant programme until (i) all the documents needed to apply for the final qualification have been collated, and an application made, in line with the framework, and (ii) the actual end date is entered on FIPS.

### **8.2 Transfer to Another Provider**

All transfer to another Provider arrangements are subject to SDS' prior written agreement (provided at our entire discretion) on an individual basis in the form of an email from the SDS assigned SIA. SDS reserves the right to amend the remaining individual Payment Plan for any transfer of a Participant.

You must fully co-operate with SDS if you materially fail to provide the training in line with the Participants' Learning Plan and SDS therefore decides that the Participant should transfer to another provider.

At its own expense, the original Provider must then ensure that the organisation to which the Participant transfers is provided in good time with all necessary documents to support any follow-on activity and ensure a smooth transition. All relevant documents to support claims made up to the transfer date must be kept by the original Provider and given immediately to SDS on request.

## 9 Exit

### 9.1 Exit

A Participant is regarded as having left the PA Programme if:

- the aim of the Learning Plan has been achieved and you have received all supporting evidence of the PA outcome
- all supporting evidence of the outcome has been collated and certification applied for; or
- the Participant states they have left the PA Programme

You must enter the leaving details immediately in to FIPS using the appropriate leaving codes.

### 9.2 Leaving Codes

The Leaving Codes for PA are listed in the table below. Please note when entering Leaving Codes in FIPS, if a Progression is made, this will need to be entered under the 'EF' headings and the 2 sub headings which are scored through can be ignored for PA purposes.

<b>Main Heading</b>	<b>Sub-Heading</b>
<b>Progression for EF Participant</b>	Entered other forms of training <del>Progression from Stage 2 to Stage 3</del> <del>Progression from Stage 3 to Stage 4</del> Progression or return to College Progression or return to University Progression to Modern Apprenticeship Progression to a job Found Voluntary Work Self-Employed
<b>Personal and Health Issues</b>	Health Issues Serious injury or accident at work/placement Homeless Detained in custody Financial Reasons Called up to armed forces Relocated/moved away Parental/caring responsibilities Travel difficulties Pressure from parent/guardian Other personal reasons

<b>Unemployed</b>	Completed and now in negative destination
<b>Difficulties with course/attendance</b>	Poor time-keeping Poor attendance Did not attend work placement/work experience Course no longer related to plans Disliked the course content Was not ready to undertake course Not achieving in line with training plan Difficulties with workload
<b>Death</b>	Death
<b>Maternity/Paternity Period (temporary leave)</b>	Maternity/Paternity Period (temporary leave)