

Graduate Apprenticeships Reporting and Compliance Guidance

Guidance document for learning providers on reporting and compliance requirements.

June 2019

This document outlines the reporting and compliance requirements throughout the Graduate Apprenticeship programme.

Section A Approval Process

Section B Course Forecasting

Section C Registration Process

Section D Early Leavers

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Section A Approval Process

All new graduate apprenticeship programmes must be approved by learning providers and SDS.
All courses awarded for delivery in September 2020 must be approved by **June 2020**.

Learning providers must provide SDS with formal documentation evidencing course approval. Any courses which require follow up action will be monitored through quarterly review meetings.

Section B Course Forecasting

To monitor learning provider's progress in filling allocated spaces SDS must be kept up to date with the employer engagement progress.

- SDS requires all learning providers to complete an employer engagement tracker and return to SDS at least 24 hours before the employer engagement catch up.
- Employer engagement catch ups will be arranged with the Delivery and Development Executive.
- The catch ups will increase in frequency as we approach the start of the programme.
- SDS requires a clear split between individuals registered, employers committed and employer engaged. SDS also requires evidence to support this, where available, such as Memorandums of Understanding, Contracts etc.
- Learning providers should work with employers to ensure that before a new graduate apprentice is hired, their GA course place is confirmed by the learning provider.

Please note all learning providers must provide a final forecast to SDS by **31st July 2020**. SDS reserves the right to reallocate any unfulfilled places.

Section C Registration Process

SDS has introduced a payment system called FIPs. Learning providers must utilise the system to register all Graduate Apprentices. Training sessions will be made available for all FIPS users.

Graduate Apprenticeships are partially funded by the European Social Fund (ESF.) In order to qualify for ESF funding we are required to adhere to **ESF programme rules**.

Once the learning provider has formally accepted an apprentice onto their GA course they must provide the apprentice with the following:

- **SDS GA Privacy Notice**
- **SDS GA Registration Form**
- **SDS Equality Monitoring Form**

The learning provider must provide the apprentice with clear guidance on how to register with SDS to qualify for GA funding.

SDS Guidance

1. Apprentice completes SDS GA Registration Form

- All apprentices must be provided with a copy and read the GA privacy notice issued by SDS.
- All apprentices must complete **ALL SECTIONS** of the latest SDS GA Registration Form.
- The learning provider is responsible for quality assuring the SDS GA Registration Form prior to signing and uploading the forms and data onto FIPS.

2. Apprentice completes SDS Equality Monitoring Form

- All apprentices must be provided with SDS Equality Monitoring Form.
- Apprentices must submit a completed SDS Equality Monitoring Form to their learning provider.
- The learning provider must ensure the form is complete and uploading the data onto FIPS.

3. Apprentice must provide copies any evidence required as per Appendix 1 Audit Evidence.

4.

Submitting Registration Documents to SDS

Learning providers must ensure that all information is uploaded onto FIPS. Further guidance can be found [here](#).

- Learning providers must retain all registration documents until SDS formally informs them that they have received ESF approval.

When to Register

The registration process opens on 1st April 2020.

Learning Providers are able to register their apprentices on FIPS in advance of the GA start date. SDS strongly encourages all providers to register participants on FIPS as soon as possible to minimise delays in gaining ESF approval.

All Graduate Apprentices starting a course in September 2020 are expected to gain ESF approval by **30th September 2020**. Learning providers who have not fully registered all apprentices by this date due to delays in documentation must as priority discuss their next steps with SDS and must have an agreed plan of action with SDS. After **30 October 2020**, non-registered September start Graduate Apprentices will standardly be withdrawn from their course due to failure to register.

Quality Assurance

Learning providers must note that it is their responsibility to ensure all registrations documents transferred to SDS are of a high quality, accurate and legible. SDS will reject all registrations which do not meet this standard.

Section D Early Leavers

Learning providers must update FIPS within 10 days of identifying a participant who has left the GA programme before completion.

A participant is regarded as having left if:

- They notify their intention to withdraw and this is confirmed by the employer; or
- There is agreement between partners that it is no longer feasible for the participant to continue, and the reasons for this are recorded.

Processing Early Leavers to SDS

Learning providers must inform SDS of all leavers through FIPS.

Section E Change of Circumstance

Learning providers must provide SDS with a completed GA Change of Circumstance form within 10 days of identifying a participant whose circumstances have changed during their GA programme.

A change of circumstance includes, but not limited, to the following:

- Change of name
- Change of address
- Change of learning provider
- Change of employer

All apprentices must provide National Insurance number and date of birth to verify their identity.

Change of name

- All apprentices must submit a GA Change of Circumstance form if their name changes.
- All apprentices must complete NI number and date of birth and **Section A**.
- All apprentices must provide evidence of this name change.
- Documents to confirm name include:
 - Passport
 - Birth certificate
 - Current UK driving licence (not a paper counterpart)
 - Marriage Certificate
- FIPS must be updated.

Change of address

- All apprentices must submit a Change of Circumstance form if their address changes.
- All apprentices must complete NI number and date of birth and **Section B**.
- All apprentices must provide evidence to support the change of address.
- Documents to confirm address include:
 - Recent utility bill (within the last 3 months) - e.g. gas, electricity, water, landline
 - recent bank or building society statement (within the last 3 months)
 - council tax bill for current year
- FIPS must be updated.

Change of learning provider

- All apprentices must submit a Change of Circumstance form if they transfer between learning providers has been approved.
- All apprentices must complete NI number and date of birth and **Section C**.
- All apprentices must provide SDS with the date on which they transferred learning provider.
- Please note that SDS does not encourage apprentices transferring between learning providers. Apprentices must ensure that SDS has approved the transfer to guarantee funding.
- FIPS must be updated.

Change of Employer¹

- All apprentices must complete a Change of Circumstance form if they change employer.
- All apprentices must complete NI number and date of birth and **Section D**.

¹ Learning providers must be notified if an apprentice is considering changing employer whilst continuing with their GA. Any new job role and employer would need to be assessed by the learning provider to ensure alignment with the GA the individual is currently studying. This would include ensuring that any new employer is adequately supported and aware of their role in delivery and assessment. The learning provider must assess employer's suitability on a case by case basis to ensure the best learning experience for apprentices.

- New employers must agree to participate in the GA programme and the learning provider must also approve this new arrangement.
- New Employers must complete Section D of the Change of Circumstance form and the Learning provider and Apprentice must also sign the Change of Circumstance Form.
- FIPS must be updated.

Section F Progress Report

Learning providers must provide SDS with a completed SDS GA Progress Report to receive relevant milestone payment. SDS will provide learning providers with template documents which must be distributed to apprentices at the end of each year.

Completion of SDS GA Progress Report to SDS

1. **Learning Provider.** This must be the name of the Learning Provider that holds the contract for the delivery of this framework.
2. **Learner Name.** This must be exactly as entered onto the confirmed assignment held on FIPS.
3. **Employer Name.** This must be the name of the employer where the learner currently works. (If this has changed please ensure FIPS has been updated)
4. **GA Framework.** This will be the framework the learner is undertaking.
5. **Learner Start Date.** This must be the same date as the start date on the learner's confirmed assignment on FIPS and the registration form.
6. **Date of Review.** This is the date that the review has taken place.
7. **Learner Progress and Achievement of GA Framework.** These will be the components the learner has completed towards their GA, and any other components that the learner may be working towards, during the review period in question, and must include the components from the previous reviews. If there are any specific issues for this learner please comment here remembering that the aim of this document is to inform the learner (not SDS).
8. **Additional Support provided to enable achievement.** Please detail additional support provided which has been put in place to enable the learner to achieve their GA.
9. **Learner Progress in the Workplace.** This section allows for feedback from the employer.
10. **Learner Comments.** The learner must be aware that the review is to happen and there is an expectation from SDS that the learner will have comments entered into this section; this is not limited to any specific part of the framework, but can cover:
 - a. learning resources,
 - b. experiences in both the work place and the classroom context,
 - c. working relationships both within the Learning Providers and Employer
 - d. logistical issues around this specific period of delivery,
 - e. and how the learner is generally faring on their GA.
11. **Next Steps.** Next steps will summarise specific action points for the learner, and if necessary also for the learning provider and employer, which will be the opening discussion for the next review.
12. **Signatures.** Learner must sign and date their progress report. A representative from the learner provider must sign and date the progress report. A representative from the employer must sign and date the progress report.

Submitting Progress Report to SDS

- Learning providers must upload all Progress Reports to FIPS within 30 days of the start date annual anniversary. (For example, if a GA starts their course on 1st August 2020 the end of Year 1 progress report must be completed and uploaded onto FIPS by 31st August 2020.)
- Learning providers should retain all progress reports until SDS formally informs them that they have received ESF approval.

When to Complete

Please see the table below to find out when to submit Progress Report

GA 4-year course

Milestone Payment	Evidence Required	When to submit
1- Registration Payment	<ul style="list-style-type: none"> • SDS GA Registration Form • SDS GA Equality Monitoring Form • Proof of date of birth • Proof of address 	As soon as the individual has been formally accepted on the GA course by learning provider.
2- Start of Year 2	<ul style="list-style-type: none"> • SDS GA Progress Report 	Learning provider must ensure that all GA Progress Reports are submitted 12 months after GA course start date. ²
3- Start of Year 3	<ul style="list-style-type: none"> • SDS GA Progress Report 	Learning provider must ensure that all GA Progress Report are submitted 24 months after GA course start date. ³
4- Start of Year 3	<ul style="list-style-type: none"> • SDS GA Progress Report 	Learning provider must ensure that all GA Progress Reports are submitted 36 months after GA course start date. ⁴
5- End of Year 4	<ul style="list-style-type: none"> • SDS GA Destination Report • Proof of Completion 	Learning provider must ensure that all GA Destination Report are submitted 48 months after GA course start date. ⁵

GA 3-year course

Milestone Payment	Evidence Required	When to submit
1- Registration Payment	<ul style="list-style-type: none"> • SDS GA Registration Form • SDS GA Equality Monitoring Form • Proof of date of birth 	As soon as the individual has been formally accepted on the GA course by learning provider.

² If GA course begins 1st Sept 2019 GA progress report must be submitted to SDS by 1st Sept 2020 at the very latest.

³ If GA course begins 1st Sept 2019 GA Apprenticeship Evaluation must be submitted to SDS by 1st Sept 2021 at the very latest.

⁴ If GA course begins 1st Sept 2019 GA Progress Report must be submitted to SDS by 1st Sept 2022 at the very latest.

⁵ If GA course begins 1st Sept 2019 GA Progress Report must be submitted to SDS by 1st Sept 2023 at the very latest.

	<ul style="list-style-type: none"> • Proof of address 	
2- Start of Year 2	<ul style="list-style-type: none"> • SDS GA Progress Report 	Learning provider must ensure that all GA Progress Reports are submitted 12 months after GA course start date.
3- Start of Year 3	<ul style="list-style-type: none"> • SDS GA Progress Report 	Learning provider must ensure that all GA Progress Reports are submitted 24 months after GA course start date.
4- End of Year 3	<ul style="list-style-type: none"> • SDS GA Destination Report • Proof of Completion 	Learning provider must ensure that all GA Destination Report are submitted 36 months after GA course start date.

GA 2-year course

Milestone Payment	Evidence Required	When to submit
1- Registration Payment	<ul style="list-style-type: none"> • SDS GA Registration Form • SDS GA Equality Monitoring Form • Proof of date of birth • Proof of address 	As soon as the individual has been formally accepted on the GA course by learning provider.
2- Start of Year 2	<ul style="list-style-type: none"> • SDS GA Progress Report 	Learning provider must ensure that all GA Progress Reports are submitted 12 months after GA course start date.
3- End of Year 2	<ul style="list-style-type: none"> • SDS GA Destination Report • Proof of Completion 	Learning provider must ensure that all GA Destination Report are submitted 24 months after GA course start date.

GA 1 year course

Milestone Payment	Evidence Required	When to submit
1- Registration Payment	<ul style="list-style-type: none"> • SDS GA Registration Form • SDS GA Equality Monitoring Form • Proof of date of birth • Proof of address 	As soon as the individual has been formally accepted on the GA course by learning provider.
2- End of Year 1	<ul style="list-style-type: none"> • SDS GA Destination Report • Proof of Completion 	Learning provider must ensure that all GA Destination Report are submitted 12 months after GA course start date.

Section G SDS Quarterly Review Meetings

SDS will arrange review meetings with all learning providers to monitor and quality assure Graduate Apprenticeship programmes.

The aim of the review meeting is to help SDS:

- Understand the current progress that learning providers are making.
- Identify any challenges or opportunities to support learning providers in delivering graduate apprenticeships.
- Share lessons learned.
- Assure that all compliance requirements are being met.
- Review quality management action plans.