



***APPRENTICESHIPSNI 2021***

**OPERATIONAL REQUIREMENTS**

**VERSION 6**

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## SECTION 1: DOCUMENT CONTROL

### 1.1 Document Owner

The owner of this document is Paul Bryans, Head of Apprenticeships Delivery & Performance Branch.

### 1.2 Document Location

This document is stored electronically by Apprenticeships Delivery & Performance Branch and a copy is available on The Department's website at: *ApprenticeshipsNI 2021 [Operational Requirements](#)*

Printed copies are only valid on the day they are printed.

### 1.3 Document Status

The version number for this document is Version 6, in effect from 1 December 2023.

### 1.4 Revision History

Date of next scheduled revision: 1 April 2024

### 1.5 Version Number

Version number: 6

Revision date: 1 December 2023

Summary of Changes & Link to explanatory Memo: As per Change Log provided (EC1/23/0424541)

### 1.6 Approvals

Approval for this document is filed as follows:

- Document Owner  
Head of Apprenticeships Delivery & Performance Branch, Paul Bryans  
Date of Approval Version 24 November 2023
- Document Manager  
Deputy Principal, Apprenticeships Delivery & Performance Branch  
Susan Stranaghan

## 1.7 Distribution

This document, Version 6, has been distributed to the following recipients on 1 December 2023

- *ApprenticeshipsNI 2021* Contractors
- Central Procurement Directorate
- DfE Commercial Services Branch
- DfE Central Payments Branch
- DfE Careers Service Branch
- DfE Communications Branch

## 1.8 Document Review Process

- 1.8.1. The Department has the right to amend or vary the Operational Requirements as required and the Contractor shall perform the contract in accordance with any such variation or amendment when instructed to do so by The Department. This document provides detail to Contractors about the process that The Department will follow when making such amendments.
- 1.8.2. In adopting this process, The Department is conscious of the need to balance flexibility in the delivery of complex service programmes with the need to allow Contractors sufficient time to assess and introduce any change to the Requirements.
- 1.8.3. The Department intends to follow a regular process of considering and making changes to the Operational Requirements. The Department anticipates that, save for exceptional and/or urgent issues; it will make changes to the Operational Requirements no more frequently than every 13 weeks if required. An indicative timetable for this process will be published at the start of the contract. The Department will, at its sole discretion, determine when an issue is exceptional and/or urgent.
  - 1.8.3.1. When making changes to the Operational Requirements, The Department will, on each occasion, provide Contractors with:
    - 1.8.3.2. A summary of the changes made.
    - 1.8.3.3. An explanation of why each change has been made.

- 1.8.3.4. A web link to a revised copy of the Operational Requirements document with a new version number.
- 1.8.3.5. A date from which the new version is deemed to be in effect. This date shall, save for exceptional and/or urgent issues, be no less than 10 working days from the date of the notification.

## 1.9 Contacting the Department

- 1.9.1. The Department will provide a single point of contact for all queries and requests in relation to these Operational Requirements. All communication in relation to any aspect of this document must be sent via email to [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk).
- 1.9.2. The Communication Plan regarding COVID-19 and the requirements of staff and participants, must be always adhered to.
- 1.9.3. If queries and requests include personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.



## SECTION 2: DEFINITIONS

### 2.1 Definition of Terms

For the purpose of interpreting this document, the terms set out in this section shall have the meanings ascribed to them below:

#### **Adult**

An apprentice aged 25+ at the date of registration on to *ApprenticeshipsNI*.

#### **Initial Assessment Period**

A period (of up to 16 weeks) prior to the Training Contractor submitting a claim for the Start Payment, by which time both the Delivery Agreement must be completed and Personal Training Plan (PTP) approved on TAMS.

#### **Claim Period**

Thirteen four-weekly periods across the financial year in which Training Contractors must submit claims to The Department's Commercial Services Branch. Details are contained in Annex 17. Contractors are notified annually of revisions.

#### **Compulsory School Age**

Compulsory School Age is defined by Article 46 of The Education and Libraries (Northern Ireland) Order 1986 (as amended): [Article 46 of The Education and Libraries \(Northern Ireland\) Order 1986](#) If an individual turns 16 between 1 September and 1 July, they can leave school after 30 June. If an individual turns 16 between 2 July and 31 August they cannot leave school until 30 June the following year.

#### **Delivery Agreement**

The Delivery Agreement (Annex 4) is the document that sets out The Department's commitment to the employer and apprentice.

#### **Direct Entrant Level 3**

An apprentice who holds a Level 2 Recognised Vocational Qualification appearing on a current Level 2 *ApprenticeshipsNI* framework enters directly to the relevant Level 3 *ApprenticeshipsNI* framework.

OR

An apprentice with appropriate work experience in their occupational area who is deemed competent to work towards achieving a Level 3 *ApprenticeshipsNI* framework.

### **Directed Training**

Planned and coherent off-the-job learning, training and assessment approaches and experiences (as distinct from, but fully cohesive with, practical experiences gained in the workplace). These approaches and experiences should be reflective of the requisite delivery environment and should include a range of alternating/blended approaches which are impactful, inspirational, engaging and challenging and which result in a measurable and successful outcome at the required level. Such approaches should align to ETI guidance.

Supportive interventions to address the needs of vulnerable and hard to reach learners, should be clearly delineated and delivered within the training, learning and assessment package.

### **Disability**

The law defines the terms 'disability' and 'disabled person' in a special way and a person will benefit from the law only if he or she satisfies that definition. Further information can be found in the link: [Protection against Disability Discrimination](#)

### **Disability Support Services (DSS)**

Disability Support Services are provided by a Disability Support Contractor, contracted by The Department to deliver specialised support to apprentices with a disability.

### **Disclosure and Barring Service (DBS)**

The Disclosure and Barring Service (DBS) helps employers make safer recruitment decisions and prevent unsuitable people from working with vulnerable groups, including children. DBS is an executive non-departmental public body, sponsored

by the Home Office. Further information is available via the NI Direct website at the link below:

[Disclosure and Barring Protecting Children and Vulnerable Adults](#)

### **Economically Important Sectors**

Prior to 1<sup>st</sup> September 2023 those sectors identified needed to rebalance the economy namely - Advanced Engineering (including Construction Technical), Advanced Manufacturing, Business Services (Specifically ICT), Creative Industries, Financial Services, Food and Drink Manufacturing, Life and Health Sciences were only available to apprentices aged 25 and over. Any apprentices rejoining the *ApprenticeshipsNI* programme who previously joined as adults over 25 before 1 September 2023 will only be able to re-join in these sectors.

### **Education and Training Inspectorate (ETI)**

An inspectorate under the Department of Education that provides independent inspection services and policy advice for a number of government departments.

### **Exemption / Relaxations / Concessions**

Relates to Essential Skills qualifications in terms of the equivalency of an apprentice's previous qualifications in English, Mathematics or ICT. The relaxation / concession route exempts the apprentice from completing an Essential Skills element of a framework but does not constitute the attainment of an Essential Skills qualification. Essential Skills funding will therefore not be paid.

### **Framework**

Sets out the relevant National Occupational Standards (NOS) and qualifications. Any qualifications specified in an apprenticeship framework must be - Regulated by Ofqual, underpinned by NOS and approved by the relevant industry representative body.

### **Framework for Safe Resumption of On-Site Training**

[Framework for Safe Resumption of On-Site Educational Provision and Related Activity](#) developed by the Departmental Advisory and Oversight Group.

### **General Data Protection Regulation (UK GDPR)**

The General Data Protection Regulation was designed to harmonize data privacy laws across Europe, to protect and empower citizens' data privacy and to reshape the way organizations across the region approach data privacy. It is in force in the UK from 25 May 2018. The GDPR is retained in domestic law as the UK GDPR.

### **Output Related Funding (ORF)**

Output Related Funding (ORF) is funding payable to Contractors based on the delivery of specified outputs.

### **Personal Training Plan (PTP)**

A plan detailing the objectives, milestones and learning needs of an apprentice and how the Training Contractors will deliver the framework requirements.

### **Progressor (from Level 2)**

An apprentice who has achieved a Level 2 framework and is seeking to progress to a Level 3 framework in the same occupational area.

### **Progressor from TfS**

An apprentice who has gained a Recognised Vocational Qualification at Level 2 on the TfS programme that appears on a current apprenticeship framework and is seeking to progress as an apprentice to the Level 3 framework in the same occupational area. They may be entered on a Level 3 framework with Level 2 en route, as they may lack the requisite practical skill to support their direct transition to Level 3.

### **Quality Improvement Team (QIT)**

The team in the Department that monitors, evaluates and reports on quality management and delivery, quality assurance and quality improvement across various Departmental programmes, and liaises with the ETI.

### **Recognised Vocational Qualification**

A vocational qualification appearing on a current targeted apprenticeship framework / pathway.

## **Regulated Occupations / Activity**

There are certain types of activities with children or adults at risk of harm that fall under “Regulated Activity” as defined by the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007 (as amended by the Protection of Freedoms Act 2012). The information in the link below gives examples of both Regulated and Non-Regulated Activities:

[Regulated Activity with Vulnerable Groups](#)

## **Rejoiner**

An individual who had previously been registered on *ApprenticeshipsNI* and not achieved their Target Framework who is rejoining provision in the same occupational area under the original entitlement with the same or a different Contractor. A second PTP payment is not payable to the original Contractor. Any adult apprentices over 25 rejoining the *ApprenticeshipsNI* programme who previously joined as over 25s before 1 September 2023 will only be able to re-join in the Economically Important sectors and be funded at 50% as was the policy at their original start date.

## **Reportable Accidents**

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997, places a legal duty on employers, self-employed people and people in control of premises to report: Work-related deaths, Major injuries or over-three-day injuries, Work related diseases, Dangerous occurrences (near miss accidents). Since 1 April 2013, employers have the option to report all work-related incidents to HSENI, no matter who the relevant enforcing authority is for the business. Further information is contained here: [Report an Incident](#)

## **Contractor’s Staff**

Section 1, “Definitions and Interpretation” current contract refers; “Staff” to have the following definition: *“Means all persons employed by the Contractor to perform its obligations under this Contract together with the Contractor’s servants, agents, contractors and sub-contractors used in the performance of its obligations under this Contract.”*

### **Sectoral Partnerships**

Established across a number of economic sectors to bring together employers, business representative bodies, further and higher education, qualification experts and policy advisors with the aim of a comprehensive review of apprenticeship and traineeship curriculum development to meet the skills needs of their industry.

### **Skills for Life and Work**

Skills for Life and Work is a life and work skills-based training programme for young people who have not yet found employment. It is funded by the Department and has been developed as a replacement for the Entry Level and Level 1 components of Training for Success (TfS).

### **Start Date**

First day on programme (not first day of employment or in the classroom).

### **Subcontractor**

Organisations that deliver training on behalf of the Contractor under a sub-contracted arrangement.

### **Target Framework**

The apprenticeship framework and level being pursued by the apprentice as named in their PTP.

### **Trainee & Apprenticeship Management System (TAMS)**

The Department's central Trainee & Apprenticeship Management System (TAMS) database. It is used for Claims Processing, Approval Requests and recording Training History.

Any queries about the new TAMS system should be sent to [ictservices@economy-ni.gov.uk](mailto:ictservices@economy-ni.gov.uk).

### **The Department**

The Department for the Economy in Northern Ireland. Also referred to as 'DfE'.

### **Training for Success (TfS)**

Training for Success (TfS) is a life and work skills-based training programme for young people who have not yet found employment. It is funded by The Department. Northern Ireland apprenticeships were originally part of the TfS programme from 2007 to 2008, and some legacy references to “TfS” remain on the TMS and CMS systems in relation to apprenticeships, although they are now separate programmes. *TfS was replaced by Skills for Life and Work and Traineeships programmes for new enrolments from 1 September 2021.*

### **Traineeships**

Traineeships is a life and work skills based training programme for young people who have not yet found employment. It is funded by the Department and has been developed as a replacement for the Level 2 components of Training for Success (TfS).

### **Unique Learning Number**

A Unique Learner Number (ULN) is a 10-digit reference number used alongside (and to access) the Personal Learning Record of anyone over the age of 14 involved in UK education or training.

### **Young Person**

An apprentice aged from 16 to 24 years of age at the date of registration on to *ApprenticeshipsNI*.

## **2.2 Abbreviations**

The following abbreviations are used throughout this document:

<b>ADPB</b>	Apprenticeships Delivery and Performance Branch
<b>CCEA</b>	Council for the Curriculum, Examinations and Assessment
<b>CMS</b>	Client Management System
<b>CSB</b>	Commercial Services Branch
<b>CPT</b>	Central Payments Team
<b>DfE</b>	Department for the Economy

<b>DSS</b>	Disability Support Services
<b>EEA</b>	European Economic Area
<b>ERR</b>	Employee Rights and Responsibilities
<b>ESF</b>	European Social Fund
<b>EU</b>	European Union
<b>FE</b>	Further Education
<b>GCSE</b>	General Certificate of Secondary Education
<b>GDPR</b>	UK General Data Protection Regulation
<b>ICT</b>	Information and Communication Technology
<b>NISRA</b>	Northern Ireland Statistics and Research Agency
<b>NMW</b>	National Minimum Wage
<b>NOS</b>	National Occupational Standards
<b>Ofqual</b>	Office of Qualifications and Examinations Regulation
<b>ORF</b>	Output-Related Funding
<b>PTP</b>	Personal Training Plan
<b>QCA</b>	Qualifications and Curriculum Authority
<b>QCF</b>	Qualification and Credit Framework
<b>RRQ</b>	Register of Regulated Qualifications
<b>SCQF</b>	Scottish Credit and Qualifications Framework
<b>SENDO</b>	Special Educational Needs and Disability (NI) Order 2005
<b>SfL&amp;W</b>	Skills for Life and Work
<b>TAMS</b>	Trainee and Apprenticeship Management System
<b>TfS</b>	Training for Success
<b>UK</b>	United Kingdom



## SECTION 3: INTRODUCTION

### 3.1 Aims of the Department for the Economy

The Department is committed to the development of a highly skilled and innovative workforce that will contribute to the twin goals of social inclusion and economic success for Northern Ireland. The quality and effectiveness of training for young people and adults are crucial elements of that process.<sup>2</sup>

### 3.2 The *ApprenticeshipsNI 2021* Programme

3.2.1. The programme is open to all people who meet the eligibility criteria set out at Section 4 of this document.

3.2.2. The *ApprenticeshipsNI 2021* programme aims to:

- 3.2.2.1. Provide apprentices with the knowledge, understanding, and competence to work at a high level in their chosen occupation.
- 3.2.2.2. Offer quality training to fulfil the requirements of an appropriate apprenticeship framework.
- 3.2.2.3. Contribute to raising the skills level of the NI workforce.
- 3.2.2.4. Provide opportunities for progression to further and higher education and training.
- 3.2.2.5. Support the direct involvement of employers in training key personnel.

3.2.3 **Under *ApprenticeshipsNI 2021*, apprenticeships:**

- 3.2.3.1. Are open to all people who have reached the minimum school leaving age, and who meet the entry requirements set out in the relevant apprenticeship framework.
- 3.2.3.2. Usually take at least two years and up to four years to complete although, unlike traditional apprenticeships, are not time-served.
- 3.2.3.3. Are a series of planned on- and off-the-job training and development activities.
- 3.2.3.4. Lead to externally regulated qualification and credit framework (QCF or equivalent qualifications).
- 3.2.3.5. Build upon the basic general competences such as the essential skills of application of number, communications, and

ICT; are industry-driven and designed to be relevant to the needs of each occupational sector.

- 3.2.3.6. Enable apprentices to acquire high level technical, administrative, and first-line management skills.
- 3.2.3.7. Enable mobility within a sector and across the wider economy by including a breadth of training beyond the specific needs of a job through both on and off-the-job training.

### 3.3 Key Elements of *ApprenticeshipsNI 2021*

The key elements of *ApprenticeshipsNI 2021* are:

- 3.3.1 Permanent remunerative employment for the apprentice from day one, i.e., a minimum of 21 contracted hours per week with one employer, which includes day release / off-the-job training (directed training must be paid as part of the apprentice's contracted hours).
- 3.3.2 Payment to the apprentice of a wage commensurate with the industry rate for that job and in accordance with the National Minimum Wage (NMW) regulations. If non-compliance with the above is identified the Training Contractor or Further Education College will have 4 weeks from the date the issue is raised with them to provide an assurance of a return to compliance with the eligibility conditions as detailed in the Operational Requirements. If the assurance is not provided within one month the apprentice must be removed from the programme. Consideration will be given to recovering all funding paid during the period of non-compliance when the minimum requirements for contracted hours or wages have not been met. *ApprenticeshipsNI 2021* Memo 3 / 2022 refers.
- 3.3.3 An apprenticeship framework for the specific occupational area agreed with the relevant industry-led representative body, comprising directed training, related knowledge, appropriate Essential Skills, and structured workplace training.
- 3.3.4 A Personal Training Plan (PTP) that is discussed and agreed between the Contractor, the employer, and the apprentice detailing the progression route for achieving the agreed qualifications.

- 3.3.5. A Delivery Agreement between the Contractor, the apprentice, and the employer outlining the roles and responsibilities of each.
- 3.3.6. A funding structure which supports training costs and makes payments on achievement of periodic milestones and on achievement of outcomes.
- 3.3.7. Support and commitment of the relevant representative organisations, e.g., relevant industry-led representative body and employers.

### 3.4 Apprenticeship Frameworks

- 3.4.1. Contractors must ensure that every apprentice follows an apprenticeship framework, which sets out the relevant national occupational standards and qualifications which must be achieved by the apprentice. The qualifications provide the evidence that the individual has achieved:
  - 3.4.1.1. The competencies required for performance in the particular occupation or job role.
  - 3.4.1.2. The technical skills and knowledge / understanding of the theoretical concepts specifically relating to the occupation or job role, together with knowledge and understanding of the industry and its market.
- 3.4.2. The Department's commitment to an apprentice / employer is the funding of a Target Framework identified in the PTP, which after the Initial Assessment Period cannot be altered until achievement of the Target Framework, except for a revised framework (see 5.7).
- 3.4.3. Each framework includes the following basic elements:
  - 3.4.3.1. Induction and modules covering Employee Rights and Responsibilities (ERR).
  - 3.4.3.2. A competence-based component at Level 2 or Level 3.
  - 3.4.3.3. Essential Skills requirements with regard to Application of Number, Communication and ICT.
  - 3.4.3.4. A knowledge-based component where appropriate to the apprenticeship framework in question (these qualifications cover the technical theory relevant to the occupation and knowledge of the industry and market).

- 3.4.3.5. Other mandatory or optional elements as specified by the particular industry for the occupational area.
- 3.4.4 Contractors must provide the underpinning knowledge and develop skills, while the employer provides the work place experience to apply learning. Depending on the subject requirements, training may be delivered in a classroom, workshop or online environment.
- 3.4.5 The current available [frameworks](#) are published on the NI Direct Apprenticeships website.

### 3.5 Register of Regulated Qualifications

The [Register of Regulated Qualifications](#) contains details of all qualifications that are regulated by the Government's regulatory organisations in England (Ofqual), Wales (Qualifications Wales) and Northern Ireland (CCEA).

### 3.6 Marketing by the Department

- 3.6.1 The Department will market *ApprenticeshipsNI 2021* through various media in accordance with its marketing strategy.
- 3.6.2 Potential apprentices and employers can [find a training contractor](#) on NI Direct or by receiving the required information from their Careers Advisor.

### 3.7 Marketing by Contractors

- 3.7.1 Contractors may market *ApprenticeshipsNI 2021* at their own expense. Contractors must make effective use of accessible communication formats.
- 3.7.2 Contractors must consider the needs of the target audience with regard to accessibility of marketing information.
- 3.7.3 Apprenticeships branding and the DfE logo, must appear on the front of all promotional materials for *ApprenticeshipsNI 2021*.
- 3.7.4 Should Contractors require further information or copies of these logos, or have any questions about the correct use of the *ApprenticeshipsNI 2021* creative materials, they should email these queries directly to Apprenticeships Delivery & Performance Branch at [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk)
- 3.7.5 Contractors **must in all cases** seek approval of draft marketing materials for *ApprenticeshipsNI 2021* from Apprenticeships Delivery & Performance Branch. The appropriate Contract Manager must also be copied into all

publicity approval requests on designs featuring the campaign identity, prior to publication or going to print.

3.7.6 Branding guidelines apply to the use of DfE logos, including minimum dimensions as follows:

3.7.7 The DfE logo: the hexagon section of the DfE logo must measure a minimum of 14mm for A4 publications and 12mm for A5 and 1/3 A4 publications.

3.7.9 The logos should not be distorted or amended in any way and there should be sufficient space around the logo to allow it to be easily legible to the reader.

### 3.8 Programme Documentation

3.8.1 Contractors complete *ApprenticeshipsNI 2021* administrative forms electronically or upload where that option is available.

If the Forms are not available to be completed on TAMS or there is a system issue preventing data input a hard copy must be completed and retained.

Any queries about the new TAMS system should be sent to [ictservices@economy-ni.gov.uk](mailto:ictservices@economy-ni.gov.uk).

3.8.2 Contractors are required to complete Forms on TAMS where possible however if using the standard templates provided for administrative forms Contractors must not remove or amend the written content of the templates provided for administrative forms. A contractor logo may be added if desired, provided this does not replace or diminish the presence of the logos included on the template. Contractors must not otherwise adapt or insert addenda to the templates used for administrative forms without prior approval from Apprenticeships Delivery and Performance Branch.

3.8.3 For administrative forms requiring a signature, email confirmation of agreement will be accepted, provided that the apprentice, employer, and Contractor representative can be clearly identified from the email address. If possible generic email accounts should not be used.

3.8.4 Any email audit trail should clearly identify and verify that all relevant parties (i.e., contractor representative, apprentice, and employer) have seen, read and agreed to the information on the form and all emails and attachments retained in a format that facilitates verification and inspection for compliance and audit purposes.

- 3.8.5 A sub contractor's staff member's signature is acceptable as the contractor's representative. Please refer to the *ApprenticeshipsNI 2021* contract at Section 1, "Definitions and Interpretation".
- 3.8.6 Details of all relevant parties' e-mail addresses must be documented in the Delivery Agreement at the start of the participation on the programme.
- 3.8.7 Email responses confirming agreement must include the relevant document as an attachment to the email and be retained in a manner that provides a clear audit trail and can be made available for inspection.
- 3.8.8 Where emailed documentation includes personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.
- 3.8.9 Contractor representatives should use only organisational email accounts to send and receive programme documentation, personal email accounts must not be used for this purpose.

### 3.9 Document Precedence

- 3.9.1 Reference is made throughout these Operational Requirements to paragraphs and/or sections of the Commercial Conditions of Contract for Services and its associated Schedules, which formed part of the *ApprenticeshipsNI 2021* procurement.
- 3.9.2 In the event of any discrepancy between these Operational Requirements and the paragraphs/sections of the Commercial Conditions of Contract for Services and its associated Schedules, the requirements stated in the Commercial Conditions of Contract for Services and its associated Schedules will take precedence.

## SECTION 4: ELIGIBILITY CRITERIA

### 4.1 Young People

- 4.1.1 Young people are eligible to enter *ApprenticeshipsNI 2021* provided they fulfil the eligibility criteria at 4.3 AND satisfy all other criteria and restrictions as set out in 4.4.

### 4.2 Adults

- 4.2.1 All adults who start the programme on or after 1st September 2023 will be funded at 100 % and can join any of the available frameworks with no occupational restrictions.
- 4.2.2 If they started prior to the 1st September 2023 support for adult apprenticeships is restricted to the economically important sectors needed to rebalance the economy. Funding for adult apprentices joining prior to 1st September 2023 is set at 50% of that available for 16–24-year-old apprentices.
- 4.2.3 The ‘Adult’ rate of funding as set out at Annex 15 will be paid in respect of those aged 25 years and over joining prior to 1st September 2023 and will for the duration of their apprenticeship and only able to re-join in the following Economically Important areas only:
- Advanced Engineering (including Construction Technical)
  - Advanced Manufacturing
  - Business Services (Specifically ICT)
  - Creative Industries
  - Financial Services
  - Food and Drink Manufacturing
  - Life and Health Sciences
- 4.2.4 A list of all *ApprenticeshipsNI* frameworks is provided at Annex 1. Frameworks available to those aged 25 and over joining prior to 1st September 2021 are listed at Annex 2.

## 4.3 Eligibility Criteria

4.3.1 Contractors must apply the eligibility criteria set out in these Operational Requirements to all potential apprentices.

4.3.2 Apprentices can enter *ApprenticeshipsNI 2021* funded apprenticeships on progression from *ApprenticeshipsNI 2017*, or as direct entrants.

4.3.3 Potential apprentices can be existing or new employees but must satisfy the eligibility criteria below.

4.3.4 To be eligible to enter *ApprenticeshipsNI 2021* funded Level 2 or Level 3 apprenticeship provision, a person must meet all of the following criteria:

4.3.4.1 Have attained the upper limit of Compulsory School Age:

- A 16-year-old who is entitled to leave school after the statutory leaving date of 30 June, or a 17 year old who leaves school or Further Education (FE) College during the month of June, will be permitted to enter *ApprenticeshipsNI 2021* from the first Monday in July.
- A school leaver or FE College leaver who is 17 years old and who leaves before 1 June can be admitted to *ApprenticeshipsNI 2021* at any time after leaving school or FE College.

4.3.4.2 Be either:

- An existing employee in a new job role that requires a substantial amount of learning and skills development, fully detailed in Form *ApprenticeshipsNI 4* (Existing Employee Application Form).
- or
- A new employee in (or about to take up) a permanent remunerative employment offer, including a specific Start Date as detailed on the Delivery Agreement (Annex 4) and confirmed by the Employer.
- and
- Be employed by a company that has a base in Northern Ireland and is registered as an employer with HMRC (also see 4.10 and 4.11) and be contracted to work a minimum of 21 hours per week with one employer. Day release to undertake directed



training must be paid as part of the apprentice's contracted hours (see also 5.14).

- 4.3.4.3 Have the potential to successfully complete all the requirements of the appropriate Level 2 or Level 3 apprenticeship framework.
  - 4.3.4.4 Meet any health requirements (e.g., colour vision) specific to the occupation of their choice.
  - 4.3.4.5 Have achieved any necessary entry academic qualifications (e.g. GCSEs) determined by the relevant sector for the apprenticeship and approved by The Department.
  - 4.3.4.6 Pass any entry tests specified by the relevant sector or employer and approved by The Department.
  - 4.3.4.7 Satisfy the criteria for existing qualifications as set out in 4.3 and 4.4.
- 4.3.5 Employers may apply their own criteria during recruitment. However, only those potential apprentices who are assessed as capable and committed to achieving the full requirements of an apprenticeship framework should be recruited to the programme.
- 4.3.6 To qualify for *ApprenticeshipsNI 2021* funding, apprentices must be contracted to work at least 21 hours per week including day release to undertake directed training.
- 4.3.7 The onus is initially on the Contractor to ensure that apprentices and employers adhere to the contractual requirements (including the completion and implementation of the Delivery Agreement at Annex 4). The Delivery Agreement now available on TAMS will encompass the Enrolment Form (Annex 5) and must be completed but it must be noted TAMS will not prompt Contractors to do so. **With Effect from 1 Dec 2023 only the TAMS online version will be accepted and an approval e-mail link for employer, apprentice, and Contractor.**
- 4.3.8 PTPs must be reviewed with the apprentice at least every eight weeks, and these reviews must include the employer to ensure that they are apprised of progress (see also Section 5.6). If an apprentice fails to participate in three scheduled reviews, Contractors must terminate them from the programme.
- 4.3.9 Where an apprentice has not engaged with the directed training element of *ApprenticeshipsNI 2021* for four consecutive weeks, in contravention of the

PTP agreement and without the formal agreement of the employer, then the Contractor must terminate the apprentice within five working days of the fourth week of non-engagement.

- 4.3.10 Issues with engagement with training and progress towards targets should be discussed with the employer and the apprentice and recorded at review.

#### 4.4 Training of Own Employees

- 4.4.1 As noted in Paragraph 4.6 of Schedule 1 - Specification a *“Contractor will not normally be permitted to claim funding for the delivery of training to their own employees or those of an umbrella organisation that they belong within.”*
- 4.4.2 Paragraph 4.6 also states that *“An exception is where a Contractor is the employer of the majority of their apprenticeship cohort or of a significant cohort of apprentices (more than 5 apprentices), in a particular Occupational Area. In this case, the Contractor must indicate on their Tender application of their intention to train this cohort of employees in their bid.”*
- 4.4.3 Subsequent to the Tender process, should a Contractor wish to train their own employees or those of an umbrella organisation that they belong within, under the *ApprenticeshipsNI 2021* programme, they should first seek permission from the Department to do so. Requests should be submitted to Apprenticeships Delivery & Performance Branch via email to [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk) and will be considered on a case-by-case basis.

#### 4.5 Previous Vocational Qualifications

- 4.5.1 A person who has previously achieved a Level 3 Recognised Vocational Qualification that is a mandatory requirement of the current targeted *ApprenticeshipsNI 2021* framework or framework pathway will not be eligible for *ApprenticeshipsNI 2021* participation in the same occupational area.
- 4.5.2 A person who has previously achieved a Level 2 Recognised Vocational Qualification that is a mandatory requirement of the current *ApprenticeshipsNI 2021* framework or framework pathway may:
- 4.5.2.1 Be considered exempt from the Level 2 and enter directly onto the relevant Level 3 *ApprenticeshipsNI 2021* framework.

- 4.5.2.2 Be considered for Level 3 with Level 2 en route adapted funding.
- 4.5.2.3 Be considered for Level 3 funding with an additional discretionary milestone payment to support up-skilling (see 4.5.7).
- 4.5.3 A person who has previously achieved a Level 3 Recognised Vocational Qualification in a different occupational area will be considered to have demonstrated their ability to successfully study at this level and should:
  - 4.5.3.1 Be considered for Level 3 with Level 2 en route adapted funding; or
  - 4.5.3.2 Be considered for Level 3 funding with an additional discretionary milestone payment to support up-skilling (see 4.5.7).

## 4.6 Exemptions from Level 2 Requirements

- 4.6.1 There are two ways an exemption from completion of a full Level 2 framework may be met:
  - 4.6.1.1 An apprentice who has already gained significant work experience in their occupational area, which could be considered as meeting the requirements of the relevant Level 2 framework, and who also demonstrates the capacity to achieve a Level 3 standard, may seek an exemption from the completion of a Level 2 framework and request direct entry onto a Level 3 framework.
  - 4.6.1.2 Where an apprentice has previously achieved a Level 2 Recognised Vocational Qualification that is a mandatory requirement of the current *ApprenticeshipsNI 2021* framework or framework pathway.
  - 4.6.1.3 The above do not apply where a Level 3 framework specifies that a Level 2 framework must be completed in full before progressing to Level 3.
- 4.6.2 In all cases where an apprentice is exempted from completing the Level 2 framework, the Contractors must ensure that the job role of the apprentice matches the requirements of the Level 3 standard. This must be reflected in

the PTP and there must be agreement between the individual apprentice, the employer and the Contractor that the apprentice is capable of completing a Level 3 framework and that appropriate opportunities will be made available within the workplace.

- 4.6.3 Where an apprentice has previous experience of study at Level 2, for example an apprentice who progresses from the Training for Success or Traineeship programmes, they can undertake a **Level 3 framework with a Level 2 en route**, taking their prior learning and achievement into consideration. This may make it possible for the apprentice to progress to Level 3 without completing the full Level 2 framework.
- 4.6.4 Where it is unclear whether an apprentice has met all Level 2 requirements, the Contractor must contact the *ApprenticeshipsNI 2021* mailbox with evidence of prior learning and achievement, requesting consideration and decision. Where requests include personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.
- 4.6.5 Contractors must ensure that, in cases where an apprentice is following a Level 3 framework with Level 2 en route, any relevant prior learning is recorded in the PTP. Prior learning must be reflected in a proportionate reduction of the number of milestones claimed.
- 4.6.6 Where the apprentice requires specific practical skills to support their direct entry to the Level 3 framework, Contractors can make application through the *ApprenticeshipsNI 2021* mailbox for a discretionary milestone payment by providing a rationale for the up skilling required and an explanation as to how it will be delivered.
- 4.6.7 Any up-skilling required must also be reflected in the PTP and there must be agreement between the individual apprentice, the employer and the Contractor that the apprentice is capable of achieving a Level 3 framework and that appropriate opportunities will be made available within the workplace.

## 4.7 Progression

Where an apprentice is progressing within *ApprenticeshipsNI 2021* from Level 2 to Level 3, they should be terminated on the TAMS system, but a new ID number must

not be created. They should retain their original ID number and should be shown as a progression to Level 3 using the progression code. Apprentices enrolled on a Level 3 framework with Level 2 en route should not be terminated on TAMS. NB There should be no progressions within the *ApprenticeshipsNI 2017* programme and only to the *ApprenticeshipsNI 2021* Programme using the code "Progression L3 Apps 2021" **not** a new start code.

## 4.8 Graduates

- 4.8.1 A graduate is defined as a person who has obtained a degree, a Higher National Diploma, a Diploma in Higher Education, or an equivalent qualification awarded by a recognised University or other Institute of Higher or Further Education.
- 4.8.2 Graduates are eligible to enter *ApprenticeshipsNI 2021* provision, however the Contractor and the employer must be satisfied that an apprenticeship is an appropriate career path for the graduate to take.
- 4.8.3 Graduates may only enter *ApprenticeshipsNI 2021* provision in an occupational area that is unrelated to their qualification subject.

## 4.9 Apprentices from Third Countries (including EU, EEA and Swiss Nationals)

- 4.9.1 Third country nationals, including European Union (EU), European Economic Area (EEA) and Swiss Nationals and their family members, are eligible to undertake a Level 2 or Level 3 apprenticeship provided they have a right to live and work in the UK. For example, though:
- having secured settled status in the UK with the appropriate visa/permit.
  - having indefinite leave to enter or remain in the UK.
  - having been recognised as a refugee by the UK Government, or the spouse or civil partner or child of a refugee, or having been granted Humanitarian Protection, or having EU Temporary Protection with evidence/permit to show their status and eligibility to work in the UK.
  - relying on their rights under the Withdrawal Agreement during the "grace period" (1 January 2021 to 30 June 2021) or until their application under the EU Settlement Scheme is complete;
  - having secured pre-settled or settled status under the EU Settlement Scheme; or

acquiring the right to live and work under the UK's new immigration system effective from 1 January 2021.

4.9.2 Legal responsibility for establishing that the apprentice has a right to live and work in the UK rests with the employer.

4.9.3 Under the Common Travel Area arrangements, Republic of Ireland (RoI) nationals (including those who continue to reside in the RoI) are eligible to undertake a Level 2 or Level 3 apprenticeship subject to satisfying all other eligibility criteria.

#### 4.10 Apprentices Working Outside Northern Ireland

An apprentice beginning employment with a company that has a base in Northern Ireland and is registered as an employer with HMRC, who, initially or during the course of the apprenticeship, will be temporarily working for that company outside Northern Ireland, is eligible to undertake a Level 2 or Level 3 Apprenticeship. The apprentice however must be able to engage fully in directed training, including where in-person attendance in Northern Ireland is required.

#### 4.11 Apprentices Employed by UK National Companies

4.11.1 In terms of the Apprenticeship Levy, employees only qualify for apprenticeship funding in England under the English Apprenticeship arrangements if they:

- Are employed by a company based in England; **and**
- Are employed 50%+ of their time in the English part of the business; **and**
- Are completing their training in England using a training provider that is listed on the English approved training provider register.

4.11.2 Therefore employees of UK national companies should qualify for support under *ApprenticeshipsNI 2021* if they:

- Are employed by a UK national company that has operations in Northern Ireland; **and**
- Are employed 50%+ of their time in Northern Ireland; **and**
- Are based in Northern Ireland and completing their directed training in Northern Ireland with an approved local Training Contractor, following an *ApprenticeshipsNI 2021* framework.

## 4.12 Ineligible Participants

The following are not eligible to enter an *ApprenticeshipsNI 2021* funded Level 2 or Level 3 apprenticeship:

- 4.12.1 A person taking up, or already in, a self-employment opportunity. This includes apprentices whose employers have taken them on under the Construction Industry (CIS) Scheme.
- 4.12.2 A public sector employee (the public sector includes all enterprises and activities owned and/or funded by the government. Employees of charities are excluded from this definition, subject to compliance with 4.12.1.4. Contractors must ensure that public sector employees are not enrolled on the *ApprenticeshipsNI 2021* programme).
- 4.12.3 A non-EU national who is subject to employment restrictions and/or a time limit on their stay in Northern Ireland at the time of application to enter training (this information can be obtained by checking the client's passport/visa/permit).
- 4.12.4 A person for whom the employer is in receipt of financial support from any other Government Department budget or programme.
- 4.12.5 A person following a full-time course of study in either Further or Higher Education.
- 4.12.6 A person employed by a company that does not have a base in Northern Ireland or Great Britain.

## 4.13 Eligibility in Doubt

- 4.13.1 If, at any time, The Department considers there is reason to doubt the eligibility of an apprentice, The Department will suspend all funding related to that person.
- 4.13.2 In these cases, the Contractor must have approval from Apprenticeships Performance and Delivery Branch for that individual's participation in the provision to continue and make request the same working day that it receives notification from The Department.

#### 4.14 *ApprenticeshipsNI 2021* Rejoiners – Young People and Adults with original start date post 1 September 2023

- 4.14.1 If an *ApprenticeshipsNI 2021* apprentice is rejoining provision in the same occupational area with the same Contractor, the original PTP should be amended. The Contractor will be allowed the remaining balance of time to claim the remaining funding available (up to the limits set out in 5.5.6.6). A second PTP payment will not be available. Adults over 25 with an original start date prior to 1<sup>st</sup> September 2023 are only permitted to re-join in Economically Important Sectors and related Frameworks and will be funded at 50%. Re-joiners should be registered on TAMS using the 'Registered Non-Referred' option and the 'Rejoining' start code.
- 4.14.2 If an *ApprenticeshipsNI 2021* apprentice is rejoining provision in a different occupational area, they should be treated as a new start.

#### 4.15 *ApprenticeshipsNI 2021* Rejoiners – Adults

- 4.15.1 An apprentice rejoining *ApprenticeshipsNI 2021* on the same framework following an interruption to training, with an original start date prior to 1<sup>st</sup> September 2023 who has turned 25 since initial enrolment on the programme, may be deemed eligible for funding at the 100% rate, as they are classified as a progressor.
- 4.15.2 Contractors must contact Apprenticeships Delivery & Performance Branch via [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk) to confirm eligibility in advance of making any claims under this section. If requests include personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.



## SECTION 5: Programme Delivery

### 5.1 ApprenticeshipsNI 2021 Frameworks

- 5.1.1 Contractors must ensure that any person entering *ApprenticeshipsNI 2021* is required to follow a current *ApprenticeshipsNI* framework.
- 5.1.2 Copies of all current frameworks are available on the NI Direct webpage, [Types of Apprenticeships](#)

### 5.2 Pre-Induction Activity

- 5.2.1 Contractors must ensure that only those who are committed to the completion of the full requirements of apprenticeship framework should participate in the provision.
- 5.2.2 Contractors must assess the aptitude and ability of apprentices to successfully complete a Level 2 or Level 3 apprenticeship on a joint basis with the participating employer (see Delivery Agreement at Annex 4 and Section 3.4).
- 5.2.3 Contractors must identify the appropriate funding route and framework level to be pursued, i.e.:
  - Level 3 apprenticeship framework, following a Level 2 en route.
  - Level 2 only apprenticeship framework.
  - Level 3 apprenticeship framework (progression route).

### 5.3 Induction

- 5.3.1 Contractors must ensure that, they provide each apprentice with a formal induction, to brief them thoroughly about all elements of the programme.
- 5.3.2 Contractors must provide all apprentices with information on relevant legislation including Operation Encompass, premises, Health and Safety, terms and conditions of employment, the PTP process, Essential Skills, Support Services, complaints and whistleblowing procedures, Privacy Notice (at Annex 12), key contact information, and progression routes.
- 5.3.3 An induction checklist must be completed by every apprentice via TAMS however for participations commencing prior to 01/12/2023 signed copies of the induction checklist at Annex 11 will be accepted for compliance purposes and must be retained for inspection by Department. It must be noted

participations post 1 Dec 2023 will have to be completed on TAMS without exception and approved by apprentice online and hard copies will not be accepted.

- 5.3.4 Contractors must provide all apprentices with information on the terms and conditions of the programme.
- 5.3.5 Contractors must provide all apprentices with information on best practice regarding safe working practices in the chosen occupational area.
- 5.3.6 Contractors must provide all apprentices with information on the process involved in the initial assessment of their Essential Skills.
- 5.3.7 Contractors must provide all apprentices with the name and contact details of a nominated key contact within the Contractor's organisation.

## 5.4 Initial Assessment

- 5.4.1 Contractors must conduct an initial assessment of each apprentice to determine the level of their existing skills and competences in general. The purpose of this initial assessment is to identify each apprentice's strengths and weaknesses, professional and technical training, and Essential Skills level, as well as to assess which level of the programme is most appropriate to meet their needs.
- 5.4.2 This assessment must be complete within sixteen weeks from the apprentice's Start Date, i.e., from their first day on programme.
- 5.4.3 Contractors must include the following elements in their Initial Assessment activity:
  - Previous Training, Education or Employment.
  - Assessment and analysis of prior learning and recording of prior achievements.
  - Identification of Essential Skills needs.

### 5.4.4 **Change of Name or Gender:**

If the apprentice wishes to be known by another name and have their certificates issued in their new name, the following process applies

[Recording a Change of Name](#)

The process to follow for Gender Recognition is outlined [here](#).

Unless evidence as detailed above is produced certificates will be issued in the apprentice's official name.

Contractors must conclude the initial assessment process by creating an individualised PTP for each apprentice that is tailored to meet their needs.

## 5.5 Personal Training Plan (PTP)

- 5.5.1 Using the TAMS functionality, the Contractor, employer, and apprentice must agree, sign, and date a PTP in respect of the apprentice.
- 5.5.2 A fully completed TAMS PTP is acceptable for Compliance purposes and where this exists an offline hard copy is not required. While system validation is in place for key fields it remains the contractor's responsibility to ensure all areas of the PTP have been completed before submitting for approval.
- 5.5.3 Contractors have the functionality to complete the PTP fully on TAMS and all sections of the TAMS PTP must be fully completed. Contractors who utilise the Declaration Checkbox to indicate that an approved PTP is held offline should note, for participations with a Start Date on or after 1<sup>st</sup> Sep 2023 the offline PTP **will only be accepted as proof of approval, and not as an alternative to fully completing the information on the TAMS PTP. It is the Contractors responsibility to ensure that all sections of the TAMS PTP are complete as input validation is not in place on all sections.**
- 5.5.4 A sub contractor's staff member's signature is acceptable as the contractor's representative. Please refer to the *ApprenticeshipsNI 2021* contract at Section 1, "Definitions and Interpretation".
- 5.5.5 The PTP must be signed off by a parent or guardian for disabled apprentices under 18 for whom support services are required.

Any queries about the new TAMS system should be sent to [ictservices@economy-ni.gov.uk](mailto:ictservices@economy-ni.gov.uk).

5.5.6 The PTP must contain:

5.5.6.1 General Qualification and Objectives:

- Framework name
- Framework number
- Level of framework
- Employer details
- Funding category

- Relevant competence-based qualification reference number and knowledge-based qualification reference numbers (or combined where applicable)

5.5.6.2 Disability Support Arrangements:

- Details of any identified disability support needs should be indicated through the option on TAMS and ADPB will approve based on evidence uploaded.

5.5.6.3 Essential Skills:

- Details of Essential Skills assessment or exemption must be recorded including qualification reference numbers for Essential Skills being undertaken. If exempt from the Level required on the framework the apprentice cannot be funded for the higher level.

5.5.7. The full version of the PTP, to be completed on TAMS, will be the only version accepted for inspection by the Department and only hard copy signatures uploaded will be accepted. It must also contain:

5.5.7.1 Apprentice employment objectives, i.e., a brief statement of the apprentice's employment and career objectives.

5.5.7.2 Overall total number of contracted hours to include both directed training and on the job work as a combined total.

5.5.7.3 The employer's name and contact number.

5.5.7.4 Apprentice training objectives.

5.5.7.5 A statement that the PTP is to be carried out under *ApprenticeshipsNI 2021* arrangements.

5.5.7.6 The duration of the apprenticeship. Specify a duration that allows the apprentice a reasonable prospect of successfully completing the apprenticeship. There is no set minimum or maximum timeframe for the apprentice to complete their framework, however there are time restrictions in relation to funding, as follows:

- In Level 3 apprenticeships with Level 2 en route, 260 weeks is the maximum time available within which to claim funding.

- In cases where the apprentice has progressed from Level 2 to Level 3, a period of 130 weeks is the maximum time available within which to claim funding.
- For apprentices who are following the Level 2 only route or a Level 3 only route, 130 weeks is the maximum time available within which to claim funding.
- In the case of Electrotechnical or Fire and Security 260 weeks is the maximum time available to claim funding as there are no Level 2 options in these occupational areas as set by the industries.

#### 5.5.7.7 Learning needs.

- Include details of initial Essential Skills needs assessment (or exemption e.g. because of GCSE passes held) and, where relevant, other identified Learning Needs.
- If an Apprentice not already holding an exemption, is assessed more capable of achieving a higher level of Essential skills than the Framework requires, they can with the agreement of the Contractor / College be registered and funded for that Level.
- If assessed and undertaking Essential skills at a higher level they must be registered at that level and not the lower level.
- **If exempt from the Level required on the framework the apprentice cannot be funded for the higher level.**

#### 5.5.7.8 Method of Assessment:

- Description of assessment methods used.

#### 5.5.7.9 Milestones:

- On the initial PTP, milestone data (which is listed in the funding tables in the Pricing Schedule) should be recorded in terms of whole or part units being pursued.
- Milestone 1 is paid in respect of 20% - 25% of framework units achieved not in respect of enrolment, induction or assessment being carried out.

- 5.5.8 Contractors or their representatives must update PTPs throughout the apprentice's time on programme to reflect achievements en route to the completion of the apprenticeship.
- 5.5.9 A milestone should not be claimed in cases where the apprentice is behind in their targeted percentage progress and only when percentage offset against the milestone has been achieved.

## 5.6 PTP Review

- 5.6.1 PTPs must be reviewed with the apprentice at least every eight weeks, and these reviews must include the employer to ensure that they are appraised of progress and any other issues including engagement with directed training. Reviews may be conducted in-person or remotely. **With effect from the 1 December 23, the PTP Review Form must be completed on TAMS and when populated, approval links will issue to the e-mail addresses provided for both the apprentice and employer. This will be the only version inspected for compliance purposes** (see also 4.3.8, 4.3.10 and 6.10.9)
- 5.6.2 If an Apprentice does not participate in the review the Contractor must make every effort to find out the reason for this and this information must be recorded.
- 5.6.3 If the Apprentice has left the programme their participation on TAMS must be terminated immediately. Any outstanding claims relating to that apprentice should be submitted at the earliest opportunity.
- 5.6.4 If a change of employer occurs during the course of the apprenticeship the Contractor must ensure that the PTP is amended and agreed between the Contractor (or their representative), the new employer, and the apprentice (see also 5.21).

## 5.7 Revised Frameworks

- 5.7.1 An *ApprenticeshipsNI 2021* framework can be updated by the Department as and when qualifications expire, are replaced or are updated by the relevant Awarding Organisation, subject to approval by CCEA. Frameworks may also be updated following review by the relevant Sectoral Partnership.
- 5.7.2 Where an apprentice is participating in a Level 3 apprenticeship with a Level 2 en route, and the target Level 3 framework is revised in the interim, the

apprentice may change to the revised framework provided it is considered feasible to follow and achieve the revised framework content. The apprentice will be required to complete all the components of the revised training framework. The Contractor or their representative must amend the PTP to reflect this change.

### 5.8 Progression from Level 2 to Level 3

Contractors must ensure that those apprentices progressing after the completion of a Level 2 framework must be registered against a Level 3 progression route, provided they meet the criteria set out in Section 4.

### 5.9 Existing Employees

- 5.9.1 Assessment of the aptitude and ability of an existing employee to successfully complete a Level 2 or Level 3 apprenticeship is, initially, the joint responsibility of the Contractor and the participating employer, as set out in the Delivery Agreement. **An Apprentice recruited to a job role within 6 months of the Directed Training commencing will be considered a new employee.**
- 5.9.2 Contractors must only enrol existing employees on *ApprenticeshipsNI 2021* if they are undertaking a new job role within the company that requires a substantial amount of additional learning and skills development.
- 5.9.3 Contractors must ensure that they carry out an extensive initial assessment of such existing employees to identify existing competences and knowledge.
- 5.9.4 Contractors must not enrol existing employees on *ApprenticeshipsNI 2021* if they do not require an extensive course of directed training in order to achieve qualifications, for example if they already possess the experience and knowledge to complete the qualification and only require formal accreditation.
- 5.9.5 Contractors must not enrol apprentices on the *ApprenticeshipsNI 2021* programme if they have extensive prior experience and competence, and competence can be certified through the accreditation or recognition of prior learning.
- 5.9.6 **The TAMS version of the PTP will only be accepted, with the option to have hard copy signature approvals (Annex 8 for reference). Existing Employee information is now a Section within the Delivery Agreement**

(*ApprenticeshipsNI Form 4 at Annex 4 can be used as a reference*) which must clearly demonstrate the new learning which the apprentice will achieve. Now available and incorporated into TAMS.

5.9.7 Form *ApprenticeshipsNI 4* **not used information incorporated into Delivery Agreement** by the Contractor for inspection by The Department prior to availability on TAMS.

5.9.8 If it is discovered that the details contained in Form *ApprenticeshipsNI 4* or input into TAMS are incorrect (for example in relation to employment and contracted hours) The Department may, at its discretion, recover all funding in relation to that apprentice. Where The Department decides to do this the apprentice must be terminated on the same working day as the notification is received from The Department.

## 5.10 Regulated Occupations

5.10.1 'Regulated Activity' is work which involves close and unsupervised contact with vulnerable groups including children, and which cannot be undertaken by a person who is on the Disclosure and Barring Service's Barred List.

5.10.2 Where an *ApprenticeshipsNI 2021* apprentice is working in a Regulated position Contractors must ensure that the relevant checks, as defined by the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007 (as amended by the Protection of Freedoms Act 2012), have been completed by either the employer or the Contractor before the apprenticeship provision begins.

5.10.3 Operation Encompass

Contractors must make sure they are fully compliant with the terms of current legislation relating to the safeguarding of children and/or adults who may be at risk, including Operation Encompass.

Operation Encompass requires the Designated Safeguarding Officer and deputies to complete specific online 'Key Adult' training ( available at [Online Key Adult Training : Operation Encompass](#)), and complete refresher training as and when required, to ensure they can undertake their safeguarding roles effectively under this obligation. It is recommended that anyone who is involved with this process should be appropriately trained. Providers must ensure the names and contact details of their Designated Safeguarding



Officer and deputies are kept up to date with the Department at email:

[Operation.Encompass@economy-ni.gov.uk](mailto:Operation.Encompass@economy-ni.gov.uk).

Contractors must ensure that a sufficient process is in place to receive a referral call from the Police Service of Northern Ireland under Operation Encompass, so that calls can be answered in a timely fashion and immediate appropriate support to be provided to the young person.

### 5.11 Working on Licensed Premises

Apprentices aged 16-17 may be employed in licensed premises but are not permitted to serve alcoholic beverages.

### 5.12 Delivery Agreement

5.12.1 A Delivery Agreement, which expresses the responsibilities of the parties and their commitment to the successful completion of the apprenticeship, must be completed by the Contractor in respect of each apprentice. **For all apprentices who start on or after the 1 December 2023, Contractors should complete a Delivery Agreement on TAMS with online approval sought from the links e-mailed to signatories.**

#### 5.12.2 Contractor's Responsibilities:

- 5.12.2.1 To monitor the training of the *ApprenticeshipsNI 2021* apprentice and confirm that the Contractor's quality assurance requirements, including health and safety obligations, are being met.
- 5.12.2.2 To investigate any failure to engage with directed training without prior approval and remove them from the programme when all outstanding claims have been made.
- 5.12.2.3 To make any agreed payments to the employer for the duration of the apprenticeship, such as Employer Incentive payments, in accordance with the funding arrangements set out in the contract between the Contractor and The Department.
- 5.12.2.4 If a Full Framework claim is rejected the employer may still be entitled to the employer incentive as it is paid in respect of achievement of the full framework by the apprentice.

- 5.12.2.5 To assist the apprentice to identify and record their achievement throughout the apprenticeship period. Any issues with engagement with training and progress towards targets should be fully discussed at the reviews and recorded.
- 5.12.2.6 Contractors **complete a Delivery Agreement on TAMS with online approval. A PDF copy can be created on TAMS and issued to the employer.**
- 5.12.2.7 If a change of employer occurs during the course of the apprenticeship, the Contractor must ensure that a new delivery agreement is created and agreed between the Contractor, new employer and apprentice.
- 5.12.2.8 In the event that the apprentice's contract with the employer is terminated due to redundancy, the Contractor should undertake reasonable endeavours to arrange suitable alternative employment for the remainder of the apprenticeship.
- 5.12.2.9 In all cases, the Contractor, employer, and apprentice must agree, sign, and date a Delivery Agreement. **Contractors must complete it within the four-week timeframe. Delivery Agreements will be inspected by the Department's Compliance Team.**
- 5.12.2.10 The Contractor must ensure, at the time of enrolment, that the employer and apprentice are aware of the programme requirements in relation to contracted hours, National Minimum Wage, and payment for time spent undertaking directed training.

### 5.13 Registration with Awarding Bodies

- 5.13.1 Contractors must be able to provide clear evidence that, within 12 weeks of their start date on ApprenticeshipsNI, each apprentice has been registered with, or an application for registration has been made to, the appropriate Awarding Body (as specified on the framework).
- 5.13.2 Contractors must ensure they have clarified the difference between registration to undertake qualifications which must be within 12 weeks of the start date, and registration to sit the actual examination which may be

restricted by the Awarding Body until the apprentice is assessed as being at the necessary standard.

5.13.3 Where block registration (registering more than one person, i.e., in a block) is used, Contractors must record the block registrations held and their allocation to individual apprentices within the twelve-week period.

5.13.4 To avoid any delays in receipt of certificates, Contractors should adhere to any timescales specified by Awarding Bodies for registration of apprentices.

5.13.5 Within 12 weeks of their start date on ApprenticeshipsNI, each apprentice must be registered with, or applications for registration must have been made to, all Awarding Bodies relating to each framework, i.e. the Awarding Bodies responsible for the relevant competence-based qualification(s), the knowledge-based qualification(s), and Essentials Skills (where applicable). This is not to be confused with registration for the actual exam which is a separate registration.

5.13.6 In exceptional cases whereby the Awarding Body prohibits the registration to undertake any qualifications within the 12-week timescale, Contractors should record the circumstances under 'Additional Information' on TAMS and retain the details on record for inspection. Details of the targeted qualifications should be recorded on the TAMS 'Courses' tab.

5.13.7 In case of non-compliance with the above, The Department will take the following action:

5.13.7.1 In instances of late / non- registration: recover from the Contractor / FEC any funding claimed in respect of the PTP.

5.13.7.2 Where the Contractor can provide evidence that they have been unable to complete registration or application for registration within the required timescales due to circumstances outside of their control, no action will be taken by the Department.

5.13.8 Where an apprentice is targeting Level 3 with Level 2 en-route, only registration for the Level 2 components is required within the first 12 weeks of training.

## 5.14 Directed Training

- 5.14.1 It is the Contractor's responsibility to provide directed training to apprentices to deliver the qualifications specified in the relevant framework.
- 5.14.2 The advice provided in the [Framework for Safe Resumption of On-Site Educational Provision and Related Activity](#) should be considered by the Contractor when planning the provision of directed training.
- 5.14.3 It is the Contractor's responsibility to ensure that directed training occurs within the apprentice's normal contracted hours. Contractors must not deliver training outside of these hours or at weekends or nights when the apprentice is not usually working unless prior approval has been granted by Apprenticeships Delivery and Performance Branch.
- 5.14.4 If a Contractor breaches this requirement, then The Department may, at its discretion, recover all funding in relation to that apprentice.

## 5.15 Qualifications Required for Essential Skills Tutors

- 5.15.1 The Contractor must ensure that Essential Skills tutors delivering Application of Number, Communication and ICT are qualified to levels set out in the Department's Circular, 'ES 01/12 Qualifications Required to Deliver Essential Skills in Northern Ireland.' This circular can be downloaded at: [Qualifications Required to Deliver Essential Skills](#)
- 5.15.2 Any queries regarding any aspect of Essential Skills qualifications should be forwarded in writing to Apprenticeships Delivery & Performance Branch in the first instance via email to the Apprenticeships Helpdesk at [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk). If requests include personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.
- 5.15.3 Further information regarding how Essential Skills is to be delivered is available on The Department's website.

## 5.16 Essential Skills Exemptions / Relaxations / Concessions

- 5.16.1 Apprentices who are following an *ApprenticeshipsNI 2021* framework and have achieved one of the qualifications outlined in the table at 5.16.4 are not required to undertake the Essential Skill qualification at the required level

within their *ApprenticeshipsNI 2021* framework, and Contractors must not submit them for such a qualification.

5.16.2 Where an apprentice presents with a GCSE Grade D (or Grade 3) in English and/or Maths, they are exempt from undertaking the relevant Essential Skills qualification at Level 1. A Grade D does not provide an exemption from undertaking the relevant Level 2 Essential Skills qualification(s) if required by the framework.

5.16.3 Those who have GCSE Grades E-G (or 2-1) in English and/or Maths will not be given an exemption and will be required to undertake Essential Skills at level 1.

5.16.4 If an Apprentice not already holding an exemption, is assessed more capable of achieving a higher level of Essential skills than the Framework requires, they can with the agreement of the Contractor / College be registered and funded for that Level.

5.16.5 For frameworks with a requirement for Level 1 Essential Skills - If an apprentice, not already holding an exemption, is assessed as being capable of achieving the relevant Level 2 Essential Skills qualification, they can, with the agreement of the Contractor, be registered and funded for that Level.

5.16.6 Qualifications that will provide a concession for Essential Skills in Application of Number and Communication are:

**Qualifications that exempt *ApprenticeshipsNI 2021* apprentices from completing Essential Skills qualifications**

	England & Northern Ireland	Wales	Scotland	Ireland
<b>Essential Skills Level 1</b>	GCSE at grade D / 3		National 4 (previously Core Skills Intermediate 1 / Standard Grade General)	Level 3 Certificate Level 3 Junior Certificate
	Key Skills Level 1			
	Functional Skills Level 1 (England)	Essential Skills Wales Level 1	Award at SCQF Level 4	Leaving Certificate:
			National Certificate (NC) at SCQF Level 4	

**Qualifications that exempt *ApprenticeshipsNI 2021* apprentices from completing Essential Skills qualifications**

		Welsh Baccalaureate (Foundation)	NPA (National Progression Award) at SCQF Level 4 SVQ (Scottish Vocational Qualifications) 1	Ordinary / Standard Level (Grade D / D1)	
<b>Essential Skills Level 2</b>	GCSE at grades A*-C / 4-9		National 5 (previously Core Skills Intermediate 2 / Standard Grade Credit)	Level 4 Certificate	
	Key Skills Level 2		Award at SCQF Level 5		
	Functional Skills Level 2 (England)	Essential Skills Wales Level 2		National Certificate (NC) SCQF at Level 5	Leaving Certificate: Ordinary / Standard Level (grades O1-O5 / A-C / A1-C3) <sup>3</sup> or Higher / Honours Level (grades H1-H7 / A-D / A1-D3) <sup>3</sup>
		Welsh Baccalaureate (National)		NPA (National Progression Award) at SCQF Level 5	
				SVQ (Scottish Vocational Qualifications) 2	

## Qualifications that exempt *ApprenticeshipsNI 2021* apprentices from completing Essential Skills qualifications

**Note 1:** Older / Higher Level Qualifications in English, English Literature or Mathematics that are exemptions for Level 2 Essential Skills:

GCE 'O level' (Grades A-C or, Prior to 1974 Grades 1-6)

A level (Grades A-E) / AS level (Grades A-E)

**Note 2:** English as a Second/Foreign Language Qualifications:

Candidates awarded grades A\* to C in the Cambridge IGCSE 'English as a Second Language' qualification are well prepared to follow courses leading to Cambridge International AS and A level English or the equivalent. Thus this qualification may be considered an exemption for Essential Skills Communication Level 2. Similarly other 'English as a Foreign Language' qualifications equivalent to Level B2, C1 or C2 on the Common European Framework of Reference for Languages (CEFR) may be considered an exemption for Essential Skills Communication Level 2, however the onus to provide evidence of the CEFR level of any other qualification lies with the training contractor and/or the apprentice.

**Note 3:** To ensure consistency in terms of the pre- and post- 2017 Irish Leaving Certification systems, Apprenticeships Delivery & Performance Branch will accept both Ordinary Level 5 (O5) and Higher Level 7 (H7) as valid exemptions for Level 2 Essential Skills. Please note this refers to the *ApprenticeshipsNI* programme only – employers or future study opportunities may have different requirements.

- 15.7.7 The relaxation / concession route exempts the apprentice from the Essential Skill element of the framework but does not constitute the attainment of an Essential Skill qualification. Essential Skills funding will therefore not be paid, and a certificate must not be awarded.
- 15.7.8 Where a learner presents with an ICT qualification that is equivalent on the [Register of Regulated Qualifications](#) to the level required for the framework they are undertaking, and the outcomes from rigorous initial assessment confirm that the learner can apply their ICT skills at this level, there should be no requirement to undertake the Essential Skills qualification in ICT.
- 15.7.9 The Contractor should retain all the evidence from the initial assessment for evaluation as appropriate.
- 15.7.10 If an apprentice who has already achieved a Level 2 qualification in English, Mathematics and/or ICT has a specific identified need in respect of literacy, numeracy, and/or ICT, Contractors must ensure that the required support is provided through the professional and technical training to facilitate the achievement of the Full Framework. There should be no requirement to undertake the full Essential Skills qualification in such circumstances.

- 15.7.11 All applications for *ApprenticeshipsNI 2021* Full Framework certificates must include certified evidence of the requisite Essential Skills or evidence that clearly demonstrates a qualifying exemption.
- 15.7.12 It is important that Contractors ensure the appropriate evidence to support Essential Skills exemptions is provided by the apprentice at the initial assessment in order to prevent difficulties arising when submitting requests for *ApprenticeshipsNI 2021* Full Frameworks certificates against apprenticeship frameworks.
- 15.7.13 The evidence provided for the exemption of Essential Skills must either be on a certificate or a certified statement of results that is clearly issued by the Awarding Organisation. Confirmation of results from the school will also be accepted. The Contractor may choose to accept provisional statements of results as evidence of exemption at the time of enrolment. When applying for the Full Framework certificate a certified statement of results that is clearly issued by the Awarding Organisation will be accepted as evidence of achievement.
- 5.16.14 If an apprentice cannot source their certificate or certified statement of results, they should approach the Awarding Organisation to provide a duplicate copy of either document. If no evidence can be sourced, then the Contractor or their representative should not record achievement on the apprentices PTP and the apprentice must complete the relevant Essential Skills qualification.
- 5.16.15 The Department has been advised by Council for the Curriculum Examinations and Assessment (CCEA) that the use of proxy qualifications, as determined by Qualifications Curriculum Authority (QCA), does not apply to Essential Skills. The portfolio and test aspects of the summative assessment for Essential Skills cannot be separated.

## 5.17 Delivery

- 5.17.1 Contractors are required to deliver the Essential Skills of Application of Number, Communication and ICT at levels 1 & 2.
- 5.17.2 Contractors must identify the Essential Skills needs of apprentices during the first twelve weeks of their participation on *ApprenticeshipsNI 2021*.
- 5.17.3 Information on Essential Skills needs is critical to The Department's information and data management, and therefore Contractors must have



procedures in place to ensure TAMS is regularly updated with all information relating to Essential Skills.

5.17.4 Contractors must deliver an Essential Skills teaching programme that makes full use of the context of the apprentice's professional and technical area and/or social and personal interests.

5.17.5 Further detail on the Essential Skills Standards and Curriculum for Literacy and Numeracy in Northern Ireland can be accessed via the following link [Essential Skills Standards](#)

5.17.6 Contractors must ensure that Essential Skills Levels 1 and 2 in Application of Number and Communication are at least 45 hours in duration. Essential Skills ICT courses must be at least 40 hours in duration unless the initial assessment process indicates that the apprentice is capable of achieving their Essential Skills qualification in a shorter period.

5.17.7 In those instances where the initial assessment process indicates that the apprentice is capable of achieving their Essential Skills qualification in a shorter period, Contractors must:

5.17.7.1 Endorse the initial assessment and confirm the hours of learning required.

5.17.7.2 Retain evidence to support the quality of teaching and learning for future inspection.

5.17.7.3 Ensure that Essential Skills achievements for those apprentices accessing provision of less than 40 hours reach at least a 90% success rate.

## 5.18 Support for Apprentices with Disability

5.18.1 Disability support services are available for apprentices with an auditory, visual, or other physical disability. Support is also available for apprentices with learning difficulties.

5.18.2 It is The Department's intention that apprentices requiring disability support are given every opportunity to overcome difficulties and to develop using the most appropriate support mechanisms. Contractors or their representatives must identify the need for such support and specify it on the apprentice's PTP. Contractors or their representatives must specify programmes of work

and select the most appropriate Disability Support Contractor to address the needs identified in the apprentice's PTP.

- 5.18.3 The Department has separate arrangements with Disability Support Contractors and will be responsible for making payments to them for DSS services. See Section 7.8 for further details.
- 5.18.4 In addition, a disability supplement may be payable to the Training Contractor to provide additional resources in terms of training time, equipment, or support in order for the apprentice to benefit fully from training (see the notes in the funding tables included in Annex 15).
- 5.18.5 Disability Support Contractors will be required to work in conjunction with Training Contractors delivering *ApprenticeshipsNI 2021*. It is important to ensure that apprentices with disabilities are not disadvantaged and are given every opportunity to overcome their difficulties and develop using the most appropriate support mechanisms. Contractors must consider the merits of securing DSS and engage Disability Support Contractors as required. Further details are provided in Section 7.8. Where requests for DSS include personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.
- 5.18.6 Feedback from participants will be sought on their disability support provision for discussion and inclusion at their reviews. Contractors must request and obtain an email update from the Disability Support Contractor on the participant's progress to date for discussion at review stage. Any issues or areas of concern regarding any aspect of the Disability Support Provision or Contract, will be documented and forwarded by email to the Department for investigation.
- 5.18.7 Disability Support Contractors will work closely with The Department, and Training Contractors contracted to deliver the *ApprenticeshipsNI 2021* provision. Disability Support Contractors will be expected to deliver their services throughout Northern Ireland and may include the following:
- 5.18.7.1 In-depth involvement with the Training Contractor or their representative in the delivery of the apprentice's PTP.
  - 5.18.7.2 Counselling to increase and improve an apprentice's confidence, self-esteem and value, enabling them to progress within their training.

5.18.7.3 Pastoral care.

5.18.8 Disability Support Contractors will be required to ensure that appropriate child protection, equality and data protection policies including Operation Encompass are provided and observed.

## 5.19 Enforced Interruption to Training

5.19.1 If an apprentice's period of training is interrupted due to pregnancy, paternity leave, custodial sentence, or care order, then the apprentice must be withdrawn from the programme. The client must be terminated using the termination code "Enforced Interruption." The Enforced Interruption code must not be used in cases of sickness. Guidance on the management of sickness absence is provided at paragraph 6.10.

5.19.2 Where training has been withdrawn, the Contractor should complete Form ApprenticeshipsNI 3(A), and [upload to the TAMS Forms Section](#) for audit purposes.

5.19.3 It is the role of the Contractor to initiate the application to re-join.

5.19.4 When the apprentice resumes training, the start code 'Rejoining' must be used.

5.19.5 When the apprentice rejoins after an enforced interruption, Form ApprenticeshipsNI 3(B) (Resumption to Training following an Enforced Interruption) should be completed and [upload to the TAMS Forms Section](#) for audit purposes. Adult Apprentices who started on the programme prior to the 1 September 2023 can only be re-joined to the Economically Important Over 25 Frameworks and be funded at 50%.

## 5.20 Redundancy or Termination of Employment

5.20.1 If an apprentice is made redundant, or their contract of employment terminated, Contractors must terminate them from *ApprenticeshipsNI 2021* provision immediately using the termination code 'Redundant Apprentice'. Should an Apprentice find a new employer willing to continue their Apprenticeship, a new Delivery agreement, PTP etc must be agreed with the new employer. The apprentice should be re-enrolled on TAMS using the 'Rejoining' start code. Previous progress and achievements must be taken into consideration, and no funding claimed under the previous apprenticeship

may be claimed again under the new participation. Adult Apprentices with a start date prior to 1 September 2023 can only re-join in the Over 25 Frameworks and be funded at 50%.

5.20.2 Exceptions can be requested on a case-by-case basis to the *ApprenticeshipsNI* mailbox: [ApprenticeshipsNI@economy-ni.gov.uk](mailto:ApprenticeshipsNI@economy-ni.gov.uk)

5.20.3 If eligible, the apprentice may join the Department's youth training programmes such as the Traineeship programme, or advice can be sought from the Department's Careers Service for alternative options. Where queries include personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.

## 5.21 Apprentices Moving to a New Employer

5.21.1 If an apprentice on either the *ApprenticeshipsNI 2017* or 2021 programme moves to a different employer during the course of their apprenticeship, and the period between employers is four weeks or less, their participation should not be ended on TAMS. The PTP should be updated, and a new Delivery Agreement created. If it is not known when alternative employment will commence, or if the period between employers will be greater than four weeks, the apprentice must be terminated immediately on TAMS. When employment recommences, they should be rejoined to the same programme using the 'Rejoining' start code.

5.21.2 If an apprentice on the *ApprenticeshipsNI 2013* programme moves to a different employer, the Contractor must notify the Apprenticeships mailbox [Apprenticeships@economy-ni.gov.uk](mailto:Apprenticeships@economy-ni.gov.uk) to seek advice as to whether termination and rejoin is required.

## 5.22 Apprentices Moving to a New Contractor

5.22.1 If an apprentice transfers to another approved Contractor mid-framework, the previous Contractor must, within four working days of a request from the new Contractor, transfer all records including the PTP and the progress relating to the apprentice, to the new Contractor. The Delivery Agreement does not have to be transferred as the new Contractor will have to enter into their own Delivery Agreement with the employer.

- 5.22.2 The new Contractor must review the PTP and prior learning, noting that duplicate milestone claims will not be payable. If any issues are identified during the review, these should be notified to the *ApprenticeshipsNI* mailbox at the time of transfer. If the apprentice was enrolled on the *ApprenticeshipsNI 2017* programme, the new Contractor must seek advice from [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk) as to whether they should be rejoined to the *ApprenticeshipsNI 2017* or *ApprenticeshipsNI 2021* programme on TAMS.
- 5.22.3 Where an apprentice completes a Level 2 framework under the *ApprenticeshipsNI* programme and progresses to a Level 3 framework in the same occupational area with another Contractor, the apprentice must be enrolled on *ApprenticeshipsNI 2021* and registered on TAMS using a Progression start code. A new Client ID must not be created - the apprentice should retain their original Client ID number. A new Delivery Agreement must be agreed and signed by the Apprentice, Employer and new Contractor.
- 5.22.4 If an apprentice was under 25 years old when they joined the programme and it was prior to the 1 September 2023 and there was an interruption to their time on the programme, they may turn 25 before they re-join. In these circumstances requests for 100% funding in respect of adult apprentices rejoining following an enforced interruption to training should be submitted to Apprenticeships Delivery & Performance Branch via email to [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk) and will be considered on a case-by-case basis. Where requests include personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.
- 5.22.5 If 100% funding is deemed appropriate, ADPB will request the necessary TAMS adjustment to allow full funding to be generated in claims. In some circumstances this adjustment may not be possible, and Form CIP1 at Annex 18 should be used to claim the additional 50% funding. In all cases, it is the contractor's responsibility to ensure the correct level of funding is claimed.

## 5.23 Apprentices with Incomplete Participation on Previous *ApprenticeshipsNI* Programmes

- 5.23.1 No rejoins or progressions on the 2013 programme are permitted without prior approval from Apprenticeships Delivery & Performance Branch.
- 5.23.2 Apprentices with previous incomplete participation on *ApprenticeshipsNI 2017* who are rejoining to complete the same framework should be rejoined to *ApprenticeshipsNI 2017*. Contractors will be notified by the Department when this position changes. If the apprentice was over 25 at date of joining prior to 1 September 2023 they can only re-join to the over 25 frameworks available at that time.
- 5.23.3 From 1st September 2021, any apprentice progressing from a standalone Level 2 apprenticeship to Level 3, should be enrolled on the *ApprenticeshipsNI 2021* programme. Apprentices undertaking a Level 3 apprenticeship with Level 2 enroute should remain on the 2017 programme. All requests for approvals should be made via email to [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk)

## 5.24 Apprentices Changing Route / Pathway / Qualification

If an apprentice continues on the same framework but wishes to change to a different route, pathway or qualification within that framework, the Apprentice, the Employer, and the Contractor must complete and sign a Learning Pathway Amendments form and **upload to the TAMS Forms Section** (Annex 10 for reference) and also use the information gathered to update the PTP on TAMS.

Any queries about the new TAMS system should be sent to [ictservices@economy-ni.gov.uk](mailto:ictservices@economy-ni.gov.uk)

## 5.25 *ApprenticeshipsNI 2021* Full Framework Certificates

- 5.25.1 The achievement of qualifications is certified by the appropriate Awarding Body. Evidence of qualification achievement must be presented to The Department by Contractors as a requirement for the release of output related funding. For presentation purposes, The Department issues an *ApprenticeshipsNI 2021* Full Framework Certificate once all targeted qualifications have been achieved. The certificate represents no specific

academic value but provides endorsement of the completion and achievement of all targeted qualifications along with acknowledgement of DfE support.

5.25.2 A Level 2 or Level 3 *ApprenticeshipsNI 2021* Full Framework Certificate will be issued by The Department on receipt and approval of Form ApprenticeshipsNI 5 and copies of certified evidence (including any extra units) from the Contractor. This evidence should confirm that each of the framework components has been successfully completed.

5.25.3 **If the TAMS upload option is not functioning**, Form *ApprenticeshipsNI 5* and all supporting evidence for the Full Framework Certificate application must be submitted electronically to [Apprenticeships@economy-ni.gov.uk](mailto:Apprenticeships@economy-ni.gov.uk). The form and evidence must be submitted from an organisational email address within the Contractor, submissions from personal email addresses will not be accepted. A Full Framework Certificate will be issued electronically to the Contractor upon approval of the application, this should be forwarded to the apprentice. The application and supporting evidence must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely. **When the TAMS functionality to upload documents resumes, all applications and evidence must be made through TAMS**

5.25.4 Contractors / FEC must make a full framework approval Request on TAMS to facilitate payment of funding and claim processing.

## 5.26 Employer Outside *ApprenticeshipsNI 2021*

An *ApprenticeshipsNI 2021* Full Framework Certificate will not be issued for completion of any alternative training outside of *ApprenticeshipsNI 2021*.

## 5.27 Quality of Service Delivery

5.27.1 The quality of service delivered by a provider will be monitored through a structured Departmental Quality Monitoring, Review, Evaluation and Improvement Process and through the Education and Training Inspectorate (ETI) inspection cycle.

5.27.2 Providers must fully engage in the Department's Quality Monitoring, Evaluation, Assurance and Improvement Process and ETI inspection as required, and compliance with this will be checked by the Department's

Contract Manager as set out in the Contract Management/Monitoring Schedule.

5.27.3 Providers must ensure that all agreements with Sub-contractors provide the Department and/or its representatives with the right to operate the Department's Quality Monitoring, Evaluation, Assurance and Improvement Process and ETI inspection at all levels of the supply chain.

5.27.4 The Quality Monitoring, Evaluation, Assurance and Improvement Process and ETI inspection will be underpinned by a common, continuous Self-evaluation and Quality Improvement Planning approach using the ETI's Inspection and Self-Evaluation Framework (ISEF) for Work Based Learning, and as such will be concerned with:

- outcomes for learners;
- quality of provision;
- leadership and management;
- care and welfare; and
- safeguarding.

The current version of this ISEF can be accessed here:

<https://www.etini.gov.uk/publications/inspection-and-self-evaluation-framework-isef-effective-practice-and-self-evaluation-4>

5.27.5 A number of supplementary quality indicators of particular relevance to Apprenticeship provision will be developed in consultation with providers for use alongside the ISEF.

5.27.6 Using the Self-evaluation and Quality Improvement Planning approach, all providers must prepare and submit an evidence-based Quality Improvement Plan to the Department on an annual basis.

5.27.7 Gradings and reports from the Quality Monitoring, Evaluation, Assurance and Improvement Process and ETI inspection will be used to support quality assurance and improvement activity, including continuous improvement and improvement planning.

5.27.8 Quality Assurance Process

5.27.8.1 Aligned with their self-evaluation and quality improvement planning, providers will be required to submit two quality assurance returns in the course of each year. The first return will provide an interim evaluative overview of progress across



the provision and will be assessed by the Department's Quality Improvement Advisor and QIT. The second return, and the provider's associated processes, will be assessed by the ETI and a written response will issue to both returns.

5.27.8.2 Quality Improvement Planning (QIP) Pilot 2022/24. Any FE SER / QIP submissions for FE Colleges will be based on the 2022 / 24 pilot.

The FE SER/QIP pilot is in place for the 6 Further Education Colleges and CAFRE who will be asked to submit a mid-cycle update in December / January 2023/24 (Final date month to be confirmed).

The FE pilot requires a biennial QIP and one mid period (after one year) update.

Training Contractors are required to continue to submit an annual Quality Improvement Plan and this practice will continue to be the case for the present with an annual SER/QIP submission in the Autumn. The FE protocol is a two-year process.

The Department may require further QMER submissions should the need arise – QMERS, QIP updates (where an organisation is underperforming as identified by ETI inspection, or other means) etc. At present formal ETI inspection planning and scheduling has resumed for both Training Contractors and FECs.

#### 5.27.9 ETI Inspection

5.27.9.1 *ApprenticeshipsNI* delivery will also be subject to inspection of quality as part of the normal inspection cycle undertaken by the ETI on behalf of the Department to inform its assessment of quality across its programmes. As part of their entry into this cycle, any *ApprenticeshipsNI* provider who did not hold, or had terminated, a contract for either Training for Success or *ApprenticeshipsNI 2017* will be subject to an initial baseline quality inspection visit by the ETI. This will result in feedback being provided to both the provider and the Department

identifying key strengths and areas for improvement, and a short issues report will be produced.

5.27.9.2 The Department reserves the right to commission urgent or more frequent inspections if issues arise with the quality of a provider's provision.

#### 5.27.10 Assessment of Quality

5.27.10.1 The Department's Quality Monitoring, Evaluation, Assurance and Improvement Process and ETI inspection will involve assessment against certain performance levels in respect of:

- the overall quality of provision; and
- professional and technical areas, and Essential Skills provision.

5.27.10.2 Overall quality of provision: When evaluating the overall quality of provision, including the evidence-based Quality Improvement Plans produced by providers as part of the Self-Evaluation and Quality Improvement Planning process, the ETI will use the following overall effectiveness outcomes:

<b>Overall Effectiveness Outcome</b>
The organisation has a <b>high level of capacity</b> for sustained improvement in the interest of all the learners.
The organisation demonstrates <b>the capacity</b> to identify and bring about improvement in the interest of all the learners.
The organisation needs to address (an) <b>important area(s) for improvement</b> in the interest of all the learners.
The organisation needs to <b>address urgently the significant areas for improvement</b> identified in the interest of all the learners.

5.27.10.3 Through the Department's Quality Monitoring, Evaluation, Assurance and Improvement Process and/or in inspections, providers must demonstrate at least '...the capacity to identify and bring about improvement in the interest of all the learners'. In implementing their continuous Self-Evaluation and Quality Improvement Planning process, the provider must work to deliver and sustain the highest Overall Effectiveness Outcome, with the objective of demonstrating that they have a '...high level of capacity for sustained improvement in the interest of all the learners'.

- 5.27.10.4 Professional and technical areas and Essential Skills provision:  
For individual professional and technical areas and Essential Skills provision, the ETI will award performance levels as outlined below:

Quality Performance Level
Outstanding
Very good
Good
Important area(s) for improvement
Significant area(s) for improvement
Urgent (areas) for improvement

- 5.27.10.5 Through the Department's Quality Monitoring, Evaluation, Assurance and Improvement Process and/or in ETI inspection activity, the provider must achieve a Quality Performance Level of at least 'Good' for each individual professional and technical or Essential Skills area inspected and graded.

#### 5.27.11 Role of Quality Improvement Team

- 5.27.11.1 The Department's Quality Improvement Team (QIT) has responsibility for monitoring, evaluating and reporting across a range of Departmental programmes, including Skills for Life and Work, the NI Traineeship and *ApprenticeshipsNI* as well as other Departmental training and European Social Fund programmes.
- 5.27.11.2 In ApprenticeshipsNI, the QIT will engage with training providers at least twice yearly for quality monitoring and evaluation which will be undertaken in conjunction with the ETI as detailed at 5.27.8.
- 5.27.11.3 The QIT will also work with the ETI to ensure that an appropriate inspection schedule for providers is agreed and that all inspection activities meet the requirements of the Department.
- 5.27.11.4 The Quality Improvement Advisor and/or a member of the QIT attends ETI post-inspection feedback sessions, where a full inspection or follow-up inspection has occurred. The QIT has responsibility for liaising as appropriate with the ETI to ensure

that all areas identified for improvement through inspection are acted upon in an appropriate timescale.

- 5.27.11.5 The Quality Improvement Team puts a range of support measures in place through the Department's Peer Support Network to support improvement where necessary.

## SECTION 6: COMPLIANCE OBLIGATIONS

### 6.1 Delivery of *ApprenticeshipsNI 2021* Frameworks

- 6.1.1 Contractors appointed via the NICS government procurement process are only permitted to deliver frameworks for which they have been awarded a contract.
- 6.1.2 FE colleges are Arm's Length Bodies of The Department and deliver *ApprenticeshipsNI 2021* frameworks via Service Level Agreements.

### 6.2 Introduction of New Frameworks

New *ApprenticeshipsNI 2021* frameworks that are approved for funding will be allocated to the appropriate professional and technical group in Annex 3. The Department will invite applications for related training delivery from Contractors using the process described in Paragraph 24.4.2 of Schedule 1 – Specification Schedule which is reproduced below:

*24.4.2 For those volume changes highlighted with \* above the Client will offer any required increase needed to meet demand to Contractors in the following order, with each additional step triggered should demand remain unfulfilled:*

- 1. To current Contractors who are delivering the Framework the increase in demand is needed within;*
- 2. To those Contractors who are currently delivering the Occupational Area that the new or additional Framework is contained within;*
- 3. To the remaining Contractors who have been awarded a contract to deliver Apprenticeship provision.*

### 6.3 Training Arrangements

- 6.3.1 Contractors must make arrangements for the assessment, verification, and accreditation of the competences and knowledge of each apprentice.
- 6.3.2 Contractors must offer quality training to fulfil the requirements of an appropriate apprenticeship framework.
- 6.3.3 Disability Support Contractors must monitor the training provision against the apprenticeship framework throughout the period of the apprenticeship.
- 6.3.4 Information and/or reports must be supplied to The Department as required.

## 6.4 Management of Information

6.4.1 Contractors will be responsible for entering an apprentice's personal and training details onto TAMS which will, in turn, generate the funding payable to Contractors at the various milestones and for ORF purposes.

6.4.2. Information regarding the Start Date should be entered onto TAMS on the day of start, or as soon as possible thereafter, but only when the individual has actually commenced participation.

6.4.3 Contractors must accurately complete the following information in TAMS:

6.4.3.1 The personal information for the apprentice.

6.4.3.2 The apprentice's Unique Learner Number, if known.

6.4.3.3 The relevant Funding Category from the drop-down box in TAMS when the PTP is completed.

6.4.3.4 The expected end date of the apprenticeship, for funding purposes:

- 260 weeks for Level 3 Apprenticeships with Level 2 enroute

(Note: this funding category must only be used where the final destination for the apprentice is the achievement of a Level 3 framework and where the Contractor is providing both the Level 2 and Level 3 training).

- 130 weeks for Level 2 only.
- 130 weeks for Level 3 only.
- 260 Weeks Electrotechnical and Fire and Security Systems

It is emphasised that the above timescales are not the maximum for the purpose of completing an apprenticeship but represent the maximum number of weeks by which the funding must be claimed (except as permitted by 5.5.7.6).

6.4.3.5 The framework the apprentice is following when the PTP is completed.

6.4.3.6 The employer of the apprentice when the PTP is completed.

6.4.3.7 The previous qualifications of the apprentice.

- 6.4.3.8 Essential Skills requirements or exemptions. It is the responsibility of Contractors to identify the Essential Skills needs of apprentices during the first 12 weeks. The Essential Skills details are critical to The Department's information and data management, and it is therefore imperative that all Contractors have procedures in place to ensure that TAMS is **regularly updated** with all information relating to Essential Skills.

## 6.5 Recording of Equal Opportunities

- 6.5.1 To facilitate the monitoring of The Department's Equality Policy, The Department is committed to delivering its services and provisions in a way which aims to ensure that they are open to all, irrespective of community background, gender, marital status, disability, race, age, sexual orientation, political opinion, and dependency status.
- 6.5.2 An essential aspect of The Department's Equality Policy is the equality monitoring of applicants and apprentices in the various Department interventions.
- 6.5.3 It is essential that information relevant to Equal Opportunities is input by Contractors into TAMS at the point of registration on *ApprenticeshipsNI 2021*. **This is a Section of the Background Section on TAMS and the Monitoring Form ApprenticeshipsNI 4 is for reference only.**
- 6.5.4 Although Equal Opportunities data in relation to community background is not viewable on an individual client record in TAMS, reports relevant to community background, gender, marital status, disability or race can be run in TAMS to facilitate Equal Opportunities monitoring. It is therefore important that equality monitoring data is as accurate as possible.
- 6.5.5 It should be noted that marital status is a mandatory field in TAMS.

## 6.6 Equality Legislation – Section 75

- 6.6.1 The Department's equality monitoring framework now takes account of community background, gender, ethnicity, disability, marital status, race, age, political opinion and dependency status.

6.6.2 The Department has an obligation to accurately record under Section 75, the participation breakdown of all young people who are submitted onto a DfE programme. Information captured on the Equality Monitoring form (Annex 5) must now be input in the Trainee Details, Background and Qualifications sections of the Trainee Record on TAMS.

## 6.7 Employer to Apprentice Ratio

6.7.1 Contractors, in conjunction with employers, must ensure that the ratio of Level 2 and Level 3 apprentices to other employees within a company is appropriate to ensure that the apprentice receives adequate training support while on the job. The recommended ratio is:

6.7.1.1 1-5 employees: 1 apprentice in any one location by occupational area.

6.7.1.2 6-10 employees: 2 apprentices in any one location by occupational area.

6.7.1.3 11-15 employees: 3 apprentices in any one location by occupational area.

6.7.2 It should be noted that the above ratio is only a guideline and refers to DfE's recommendation for an employer to apprentice ratio. The key factor is to ensure that an apprentice has sufficient training support whilst on the job.

## 6.8 Sickness Absence and Attendance

6.8.1 Periods of sickness absence for an apprentice should be dealt with in line with the relevant employer's individual policy for managing sickness absence. Therefore, if an apprentice is absent from the provision due to any sickness absences lasting up to a maximum of 4 consecutive weeks, they must not be removed from the provision, provided all such absences are deemed acceptable by the employer.

6.8.2 Where an apprentice has not engaged with the directed training element of *ApprenticeshipsNI 2021* for four consecutive weeks, in contravention of the PTP agreement and without the formal agreement of the employer, then the apprentice must be immediately removed from the provision by the Contractor.

6.8.3 If the Contractor needs to terminate a client due to long term sickness then they must enter an end date into the "Actual End Date" field and select the



'Sickness' termination code from the drop-down list. Contractors must then save the changes made to ensure the client is terminated from the programme.

- 6.8.4 Contractors must ensure that appropriate attendance records are maintained for face-to-face directed training. An appropriate record of an apprentice's engagement with alternative training provision must also be maintained. Attendance and/or engagement records must be retained for inspection to demonstrate that training hours are in line with the arrangements set out in the PTP agreement.
- 6.8.5 The use of Electronic Attendance Records is permitted however Contractors and Colleges must ensure that these can be made available to the Department as and when required e.g. compliance inspections.
- 6.8.6 Where Colleges and Contractors employ their own electronic systems, they must give assurances that they will continue to meet the requirements and obligations conferred in their Service Level Agreement or Contract Terms & Conditions and the 2021 Operational Requirements. Specifically, that their System will not in any way, shape or form replace or attempt to replace (longer term) TAMS. Further, that there will be no substitution or dilution of the face-to-face relationship building/review processes conducted between apprentice, employer and contractor or college and that all standing commitments and undertakings with regard to TAMS will continue to be met.
- 6.8.7 Attendance records and records of engagement with alternative provision must be produced at inspection if requested.
- 6.8.8 Attendance and engagement with alternative provision must be reflected at each review which occurs every 8 weeks, enabling inspectors to easily identify issues if there are lapses. (4.3.10 refers).

## 6.9 Attendance

- 6.9.1 Article 140 of EU Regulation No 1303/2013 allows for signed documents to be retained in the form of the original document, or a certified true copy of the original document, or an electronic version of the original document, on the condition that it can be relied on for audit purposes. This can include the ability to produce printed copies for inspection or facilitate on-screen inspections as required / requested.

- 6.9.2 The Department will monitor *ApprenticeshipsNI 2021* and may visit the Contractor or training partner during the year to examine attendance records.
- 6.9.3 Failure to provide satisfactory documentary evidence to support claims will result in reimbursement being disallowed and/or recovery of payments already made.

## 6.10 European Charter for Regional and Minority Languages

- 6.10.1 The European Charter for Regional or Minority Languages is a convention designed on the one hand to protect and promote regional and minority languages as a threatened aspect of Europe's cultural heritage, and on the other hand to enable speakers of a regional or minority language to use it in private and public life. Its overriding purpose is cultural.
- 6.10.2 Article 8 of the Charter relates to requirements for professional and technical training, which may include the provision of training in a regional or minority language (Irish and Ulster Scots in the case of Northern Ireland) if there is a reasonable demand for such provision.
- 6.10.3 Contractors must familiarise themselves with the Charter, and the requirements which may arise from it. A copy of the Charter and relevant additional information is available at following link: [European Charter for Regional or Minority Languages](#)

## 6.11 Community Relations

- 6.11.1 The Department would encourage all Contractors involved in the delivery of its provision to take whatever action they can to improve and encourage good cross-community relations.
- 6.11.2 Whilst Contractors are free to choose the most appropriate activities for their organisation, consideration should be given to forging close links with other Contractors and locations that are perceived to be identified with another community.

## 6.12 National Minimum Wage / National Living Wage for Apprentices

- 6.12.1 Workers who are over Compulsory School Age and under 25 years old are entitled to receive the National Minimum Wage (NMW). In Northern Ireland you can leave school after 30 June if you turn 16 years old between 1

September and 1 July. If you turn 16 years old between 2 July and 31 August you cannot leave school until 30 June the following year.

6.12.2 Workers who are aged 25 and over are entitled to receive the National Living Wage (NLW).

6.12.3 The rates for both the NMW and the NLW are reviewed every April and are updated at the following link, [National Minimum Wage Rates](#)

6.12.4 An Apprentice Rate of NMW or NLW applies to all apprentices who are either:

6.12.4.1 Aged under 19; or

6.12.4.2 Aged 19 or over and in the first year of their apprenticeship.

6.12.5 As part of the process of finalising a Delivery Agreement, it is the responsibility of Contractors to confirm with the employer that **ALL** apprentices are paid in line with these regulations.

### 6.13 Termination of Training Contracts

6.13.1 On contract termination, the Department reserves the right to satisfy itself that all aspects of the training are as they should be and are up-to-date as at the point of closure. This not only relates to the associated administrative systems as determined by Commercial Services Branch but also to the progress, or otherwise, of each participant during their respective training periods, up to the point of transfer to another Training Contractor.

6.13.2 The Department will take whatever steps are considered appropriate to obtain all the necessary assurances, including the involvement of external verification. In the absence of such assurances, the Department will make appropriate recoveries of funding applicable to the situation, including the cost of verification.

6.13.3 Each situation will be dealt with on a case-by-case basis.

6.13.4 The closing Training Contractor must ensure that all the relevant documentation is made available to the new Training Contractor, so that each participant's record is complete.

## SECTION 7: ADMINISTRATION AND FINANCE

### 7.1 Information Systems

- 7.1.1 As set out in the Contract Specification, The Department has developed a software package, Trainee and Apprenticeship Management System (TAMS), to assist Contractors in the administration arrangements for the *ApprenticeshipsNI 2021* provision.
- 7.1.2 TAMS will have an automated process for payment approval requests which, when actioned, generate the Contractors claims.

### 7.2 Data Entry of Apprentice Details

The Contractor must, within two weeks of the commencement of an apprenticeship, have completed the necessary automated start processes of the Level 2 or Level 3 apprentice on the TAMS database provided by The Department. Failure to do so may delay the issue of payments.

### 7.3 New Apprentices

Once the PTP is agreed, it will be the responsibility of the Contractor or their representative to indicate the level of the apprenticeship being pursued on the TAMS PTP of the apprentice, i.e. either:

- Level 3 apprenticeship framework, following a Level 2 enroute.
- Level 2 only apprenticeship framework.
- Level 3 apprenticeship framework

### 7.4 Progressors

- 7.4.1 Those apprentices progressing after the completion of a standalone Level 2 framework must be registered against a Level 3 progression route using the correct TAMS code from the options provided.
- 7.4.2 Apprentices who hold a Recognised Vocational Qualification at Level 2 in the same occupational area for which they are enrolling, must be registered for the relevant framework at the next higher level (where available under *ApprenticeshipsNI 2021*). Funding in such cases is restricted to the 'single framework' funding model, i.e. 'Level 3 progression route'.

7.4.3 If up-skilling is required to prepare an apprentice to start a Level 3 framework, Contractors can make application for an additional milestone payment, as set out in the Pricing Schedule, by providing a rationale for the up-skilling required and an explanation as to how it will be delivered. Requests for discretionary milestone payments should be submitted to Apprenticeships Delivery & Performance Branch for consideration at [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk). Where requests include personal data, the personal data must be encrypted as per paragraph 7.14.6, to ensure it is transmitted safely and securely.

## 7.5 Submitting Evidence

Contractors should note the following when submitting evidence:

- 7.5.1 The overall certificate for each framework qualification is required, as opposed to certificates for units achieved within a framework. A certified statement of results that is clearly issued by the Awarding Organisation will be accepted as evidence of achievement.
- 7.5.2 Where there is a requirement within a framework for a current 12 hour paediatric / childcare first aid qualification, the evidence required is a certificate that actually states 12 hours paediatric / childcare first aid qualification. If a certificate does not show 12 hours and this is what is required in the framework, it will not be accepted as evidence.
- 7.5.3 Particular attention should be paid to the requirements for Employment Rights and Responsibilities (ERR), as different frameworks have different requirements. Where a framework states that delivery of ERR is required, evidence must be sent as part of the application exactly as it is stated in the framework.
- 7.5.4 All applications for *ApprenticeshipsNI 2021* Full Framework Certificates must include certified evidence of the requisite Essential Skills or evidence that clearly demonstrates exemption as detailed in 5.16.4. The evidence provided for the exemption of Essential Skills must either be on a certificate or a certified statement of results that is clearly issued by the Awarding Body. Provisional statements of results cannot be accepted.
- 7.5.5 In case of any issues the requisite documentation should be forwarded electronically to [Apprenticeships@economy-ni.gov.uk](mailto:Apprenticeships@economy-ni.gov.uk) until the TAMS functionality is fully operational.

- 7.5.6 The Contractor should claim ORF on an ongoing basis for each apprentice, as and when the necessary supporting documentation becomes available.
- 7.5.7 If an apprentice has changed their name for any reason, for example due to marriage or by deed poll, documentary evidence of the change should be provided to support their application for an *ApprenticeshipsNI 2021* Full Framework Certificate (see also 5.4.4).

## 7.6 Progressors Full Framework Certificates

It should be noted that apprentices funded as Progressors will receive an *ApprenticeshipsNI 2021* Full Framework Certificate in relation to the framework achieved.

## 7.7 Notification of Leavers

- 7.7.1 Contractors must terminate apprentices who leave the programme in TAMS, selecting the termination code which best describes the reason for leaving the programme.
- 7.7.2 Contractors must ensure all avenues are explored to determine the destination of leavers before using the “Unknown Destination” option.
- 7.7.3 The choice of incorrect code can impact on any application for benefits from the apprentice concerned and cause unnecessary delay in the processing of their claim. The entry of termination coding will be monitored, and TAMS users are advised to ensure that due care and attention are used when entering termination codes. The code “Mitigating Circumstances” can only be used in exceptional circumstances; evidence must be provided, and approval granted by Apprenticeships Delivery & Performance Branch, prior to its use. Approval must be retained for audit.
- 7.7.4 When apprentices leave the programme without achieving the full framework, Contractors or their representative must ensure that **data is entered in the Participation Notes Free Text option on TAMS** in respect of any part-qualification achieved, including the unit reference code / number for each mandatory and non-mandatory unit undertaken, and the target date of each unit.

## 7.8 Apprentices with Disabilities

- 7.8.1 An apprentice with a disability may be at a disadvantage in the labour market. Therefore, anyone who has a disability and who is deemed capable of following *ApprenticeshipsNI 2021* provision may attract a disability supplement. The supplement is payable to help a Contractor provide significant additional input of resources in terms of training time, equipment, or support for the person to benefit fully from the training. **Contractors upload the evidence of disability on TAMS and ADPB staff will approve where applicable. This will facilitate enhanced funding.**
- 7.8.2 **Contractors who want to engage support from the Disability Support Services need to also tick the funding application box and upload the supporting evidence. ADPB staff will ensure that all information pertaining to a client's disability is reviewed on the relevant section of TAMS. This will aid the approval of funding to Contractors for those apprentices requiring this Disability Support Services.**
- 7.8.3 **ADPB staff will determine if the evidence is available to support the request and update TAMS and CPT will process the Disability Support Application.**
- 7.8.4 The supplement, in respect of funding bands 1-6, is payable as indicated in the funding tables, which can be found in Annex 15. When the Disability Indicator is marked the supplement will be automatically activated.
- 7.8.5 If additional Disability Support Services (DSS) are required for an apprentice, the services of a specialist Disability Support Contractor can also be obtained. The Department has contracted Disability Support Contractors to provide DSS for both the *ApprenticeshipsNI* and Youth Training programmes. Contact details for Disability Support Contractors can be found at Annex 19.
- 7.8.6 To arrange delivery of DSS for an apprentice, the Training Contractor must follow the procedures outlined in the Disability Support Guidance document issued August 2021.
- 7.8.7 The Department has separate arrangements in place with Disability Support Contractors and will arrange payment directly to the Disability Support Contractor for services rendered.

## 7.9 Disability Supplement Management

In relation to Equal Opportunities monitoring within *ApprenticeshipsNI 2021*, some of the processes are automated.

## 7.10 Accidents

7.10.1 Contractors must investigate accidents, whether they occur on their own premises or on those of training partners. Reportable Accidents must be reported immediately to the Health & Safety Executive for Northern Ireland on form NI2508 entitled 'Reporting of an Injury or Dangerous Occurrence', available at the following link: [Report an Injury](#)

7.10.2 Contractors must comply with any statutory requirements to notify the relevant enforcing body of fatalities, certain injuries, diseases or dangerous occurrences. Full details are given in Guidance Booklet RIDDOR (NI) 97, 'Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland)', available at the following link: [Reporting of Injuries, Diseases and Dangerous Occurrences Regulations](#)

7.10.3 Contractors must ensure that all Reportable Accidents are also recorded on the TAMS system.

## 7.11 Funding

7.11.1 There are eight funding groups associated with *ApprenticeshipsNI 2021* frameworks, as set out in Annex 1. Funding can be drawn down in respect of Level 2 and Level 3 apprenticeships in accordance with the Pricing Schedule.

7.11.2 It should be noted that, in circumstances where components of a full *ApprenticeshipsNI 2021* framework have already been achieved, the funding already paid in respect of these components will be deducted from the final payment of the apprenticeship framework.

## 7.12 Employer Incentive

7.12.1 The employer with whom the apprentice completes their apprenticeship is entitled to the Employer Incentive payment. Contractors cannot offer incentives to potential apprentices (and employers) over and above the stated payments in the contract.



7.12.2 On achievement of the full apprenticeship framework and issue of an *ApprenticeshipsNI 2021 Full Framework Certificate* by Apprenticeships Delivery & Performance Branch, an Employer Incentive will be paid to the Contractor and must be forwarded to the employer no later than four weeks after receipt of the payment. The level of funding is determined by the apprenticeship framework funding band.

A letter will be issued by email to the employer when the Full Framework Certificate is issued advising them of their entitlement to the Employer Incentive and to contact the Contractor to arrange payment if not received within 12 weeks of the date of the letter.

If the full framework payment is withheld from the contractor but the apprentice has achieved all targeted qualifications the employer may still be entitled to receive the incentive payment. In such cases an application for the certificate should still be made to Apprenticeships Delivery & Performance Branch, and following approval, a claim for the Employer Incentive should be submitted through the discretionary process.

7.12.3 Where any Employer Incentive payment cannot be fully delivered, the payment must be returned to The Department within three months of the date on which the initial payment was made by The Department. Any subsequent request for re-issue of the payment will be considered only on submission of a valid case to Commercial Services Branch. **The repayment can be by BACS Transfer or in a cheque forwarded to the Department with the apprentice's name on the reverse and referenced as ApprenticeshipsNI.**

7.12.4 Contractors should be aware that if an Insolvency Administrator initiates a request for (or an intention to request) payment in relation to an insolvent estate within the three-month repayment timescale, Contractors must proceed with the payment irrespective of whether the actual payment takes place after the date when the three-month repayment point has been reached. Contractors must retain all related documentation and correspondence for audit purposes.

7.12.5 Employer Incentive payments should be made via BACs and all payment records must be retained for inspection.

## 7.13 Retention of Records

- 7.13.1 The retention of documentary evidence is the means by which an adequate audit trail can be maintained, and compliance can be checked.
- 7.13.2 For apprentices who started on the programme prior to 1 September 2023, the training costs incurred under *ApprenticeshipsNI 2021* were part-funded by the Northern Ireland European Social Fund Programme 2014-2020. In accordance with Article 140 of EU Regulation No 1303/2013, projects benefitting from the European Social Fund (ESF) must ensure that all documents relating to its operation, implementation and financing are retained, and available for inspection, for the required timescales.
- 7.13.3 This means that, in respect of apprentices who started on the programme prior to 1 September 2023, all documents must be retained until 31 December 2030 (for ESF purposes), or 7 years from the date of the last payment, whichever is later.
- 7.13.4 For apprentices who started on the programme on or after 1 September 2023, all documents must be retained for 7 years from the date of the last payment. To ensure all necessary documentation is available if requested, The Department requires Contractors to keep safely and securely – and ensure their training partners keep safely and securely – all records relating to *ApprenticeshipsNI 2021*, financial and otherwise.
- 7.13.5 Contractors must ensure that such records are kept in a manner that will enable all *ApprenticeshipsNI 2021* income and expenditure to be identified separately from any other income and expenditure.
- 7.13.6 Records must be disposed of in line with the requirements detailed in the Department's Retention and Disposal Schedule. This is still in draft pending final approval by the Assembly. The amendments outlined in sections 7.13.2 – 7.13.4 will be made within the Schedule as soon as practically possible.
- 7.13.7 Upon the deletion of electronic files or disposal of hard copy records after the required retention period for Skills and Apprenticeships Programmes is complete an Assurance Statement from a suitably responsible member of the Contractors / FEC staff that records were deleted / disposed of in line with requirements detailed in the Department's Retention and Disposal Schedule should be retained and a copy forwarded to the *ApprenticeshipsNI* Mailbox.

## 7.14 Protection of Personal Data

7.14.1 The UK adopted the General Data Protection Regulation (UK GDPR) on 25 May 2018. GDPR is an updated Data Protection Regulation designed to harmonise data privacy laws, to protect and empower all citizens' data privacy, and to reshape the way organisations approach data privacy.

7.14.2 UK GDPR applies to 'personal data' meaning any information relating to an identifiable person who can be directly or indirectly identified in particular by reference to an identifier. This definition provides for a wide range of personal identifiers to constitute personal data, including names, identification numbers, location data or online identifiers, reflecting changes in technology and the way organisations collect information about people. It applies to both automated personal data and to manual filing systems.

7.14.3 UK GDPR applies to 'controllers' and 'processors'. A controller determines the purposes and means of processing personal data. A processor is responsible for processing personal data on behalf of a controller. In the context of *ApprenticeshipsNI 2021* The Department is the controller, and Contractors and their training partners are processors. UK GDPR places specific legal obligations on processors; for example, the requirement to maintain records of personal data and processing activities. Processors will have legal liability if responsible for a breach.

7.14.4 Under UK GDPR, the data protection principles set out the main responsibilities for organisations. These state that personal data must be:

- processed lawfully, fairly and in a transparent manner.
- collected for specified, explicit and legitimate purposes.
- adequate, relevant and limited to what is necessary.
- accurate and, where necessary, kept up to date.
- retained only for as long as necessary.
- processed in an appropriate manner to maintain security.

7.14.5 UK GDPR outlines examples of the appropriate technical and organisational measures that should be taken to ensure the security and protection of personal data, including:

- the pseudonymisation and encryption of personal data.
- the ability to ensure the ongoing confidentiality, integrity availability and resilience of processing systems and services.
- the ability to restore the availability and access to personal data in a timely manner in the event of a physical or technical incident.
- a process for regularly testing, assessing and evaluating the effectiveness of technical and organisational measures for ensuring the security of processing.

7.14.6 When sending communications to The Department or learning partners that include personal data, the personal data must be encrypted using at least AES-256 encryption to ensure it is transmitted safely and securely. Instructions and information about appropriate software are detailed in the Contract Specification.

7.14.7 In the event of any data security breach Training Contractors must notify The Department immediately.

7.14.8 For further useful information about UK GDPR, please refer to:

[Guide to the General Data Protection Regulation](#)

The UK GDPR legislation is available in full at the following link: [UK GDPR Legislation](#)

## ANNEX 1: Frameworks and Funding Groups for Young People (16-24) and Adults 25 and Over starting on or after 1 September 2023

### 16-24 Age Band (Young People)

FRAMEWORK NAME	FRAMEWORK NUMBER	
	LEVEL 2	LEVEL 3
<b>Group One</b>		
Accounting	1	301
Aviation Operations on the Ground	62	458
Bookkeeping	63	-
Business and Administration	2	302
Cleaning Support Services	66	-
Contact Centre Operations	46	358
Customer Service	60	396
Driving Goods Vehicles	69	404
Facilities Services	117	-
Facilities Management	-	405
Hospitality	70	406
Housing	-	352
Marketing	75	407
Passenger Carrying Vehicle Driving - Bus and Coach	58	-
Providing Financial Services	21	343
Retail	31	353
Sales and Telesales	80	411
Social Media and Digital Marketing	-	460
Supply Chain Management	79	
Travel Services	35	357
Vehicle Sales	76	361
Youth Work	55	391
<b>Group Two</b>		
Active Leisure, Learning and Wellbeing	33	384
Children's Care Learning and Development	10	323
Food and Drink	59	395
Horticulture	5	306

## 16-24 Age Band (Young People)

FRAMEWORK NAME	FRAMEWORK NUMBER	
	LEVEL 2	LEVEL 3
IT User	49	341
Logistics Operations	-	322
Management	-	345
Team Leading	53	-
Warehousing and Storage	9	-
<b>Group Three</b>		
Barbering	45	378
Beauty Therapy	40	337
Creative and Digital Media	-	419
Dental Nursing	-	421
Fashion and Textiles	116	422
Floristry	14	331
Glass Industry	17	-
Glass Industry Occupations	-	335
Hairdressing	18	336
Health and Social Care	19	338
Nail Services	48	382
Pharmacy Services	50	387
Polymer Processing Operations	-	348
Printing Industry	29	-
Print	-	349
Rail Services	88	-
Spa Therapy	-	426
Sustainable & Resource Management	114	456
<b>Group Four</b>		
Animal Care	6	307
Catering and Professional Chefs	90	428
Environmental Conservation	13	330
Equine Industry	20	339
Game and Wildlife Management	89	427
IT and Telecoms Professional	91	-

## 16-24 Age Band (Young People)

FRAMEWORK NAME	FRAMEWORK NUMBER	
	LEVEL 2	LEVEL 3
Information Technology	-	429
Scientific Technologies	-	392
Trees and Timber	93	430
Vehicle Parts	92	363
Veterinary Nursing Assistant	115	-
Veterinary Nursing	-	373
<b>Group Five</b>		
Agriculture	4	304
Bus and Coach Engineering and Maintenance	99	432
Construction	8	-
Construction Crafts	-	310
Furniture Production	16	
Landbased Service Engineering	3	303
Vehicle Body and Paint	96	362
Vehicle Fitting	97	-
Vehicle Fitting Operations	-	383
Vehicle Maintenance and Repair	98	346
<b>Group Six</b>		
Construction Technical	-	461
Gas Utilisation, Installation and Maintenance	-	379
Electrical Power Engineering	11	325
Engineering	12	327
Heating, Ventilation, Air Conditioning & Refrigeration	24	312
Plumbing	25	-
Plumbing and Heating	-	316
Rail Engineering (Track)	100	-
Water Utility Operations	54	
Wind Turbine Operations and Maintenance	-	435
<b>Group Seven</b>		
Electrotechnical	-	342
<b>Group Eight</b>		

**16-24 Age Band (Young People)**

FRAMEWORK NAME	FRAMEWORK NUMBER	
	LEVEL 2	LEVEL 3
Fire and Security Systems	-	354



## ANNEX 2: Frameworks And Funding Groups For Adults (25+)

**25+ Age Band (Adults) Started on or Before 1 September 2023 or Re-joining having original start within this timeframe**

FRAMEWORK NAME	FRAMEWORK NUMBER	
	LEVEL 2	LEVEL 3
<b>Group One</b>		
Providing Financial Services	21	343
<b>Group Two</b>		
Food and Drink	59	395
<b>Group Three</b>		
Creative and Digital Media	-	419
Pharmacy Services	50	387
Polymer Processing Operations		348
<b>Group Four</b>		
Information Technology / IT and Telecoms Professional	91	429
Scientific Technologies	-	392
<b>Group Five</b>		
<i>None</i>	-	-
<b>Group Six</b>		
Construction Technical	-	461
Electrical Power Engineering	11	325
Engineering	12	327

## **ANNEX 3: Professional and Technical Groups**

### **1. Administration & Management**

- Business Administration
- Management
- Marketing
- Team Leading

### **2. Agriculture & Land**

- Agriculture
- Environmental Conservation
- Equine Industry
- Game and Wildlife Management
- Horticulture
- Sustainable Resource Management
- Trees and Timber

### **3. Building Services Engineering**

- Construction Technical
- Electrotechnical
- Gas Utilisation Installation and Maintenance
- Heating and Ventilation, Air Conditioning and Refrigeration (HVACR)
- Plumbing
- Plumbing and Heating
- Fire and Security Systems

### **4. Construction**

- Construction
- Construction Crafts
- Glass Industry
- Glass Industry Occupations

### **5. Creative**

- Fashion and Textiles
- Floristry

## **6. Engineering**

- Engineering

## **7. Finance**

- Accounting
- Bookkeeping
- Providing Financial Services

## **8. Hair & Beauty**

- Barbering
- Beauty Therapy
- Hairdressing
- Nail Services
- Spa Therapy

## **9. Health, Social Care, Children & Young People**

- Children's Care, Learning and Development
- Health and Social Care
- Youth Work

## **10. Hospitality**

- Catering and Professional Chefs
- Hospitality

## **11. IT & ICT Services**

- Creative and Digital Media
- IT and Telecoms Professional
- Information Technology
- IT User
- Social Media and Digital Marketing

## **12. Leisure & Sport**

- Active Leisure, Learning and Well Being

### **13. Manufacturing & Processing**

- Food and Drink
- Furniture Production
- Print
- Printing Industry

### **14. Motor & Plant**

- Bus and Coach Engineering and Maintenance
- Land Based Engineering
- Rail Engineering (Track)
- Vehicle Body and Paint
- Vehicle Fitting
- Vehicle Fitting Operations
- Vehicle Maintenance and Repair
- Vehicle Parts
- Vehicle Sales

### **15. Retail & Customer Care**

- Contact Centre Operations
- Customer Service
- Retail
- Sales and Telesales
- Travel Services

### **16. Science & Medical Services**

- Animal Care
- Dental Nursing
- Scientific Technologies
- Pharmacy Services
- Veterinary Nursing
- Veterinary Nursing Assistant

### **17. Services**

- Cleaning Support Services
- Facilities Management
- Facilities Services
- Housing

## **18. Transport & Distribution**

- Aviation Operations on the Ground
- Driving Goods Vehicles
- Logistics Operations
- Passenger Carrying Vehicle - Driving Bus and Coach
- Rail Services
- Supply Chain Management
- Warehousing and Storage

## **19. Utility and Utility Services**

- Electrical Power Engineering
- Water Utility Operations
- Wind Turbine Operations and Maintenance

# ANNEX 4: Delivery Agreement



**Apprenticeships**

**TAMS RECORD ONLY ACCEPTED. FORM TO BE USED FOR REFERENCE ONLY**

## APPRENTICESHIPSNI 2021 DELIVERY AGREEMENT

### 1. Employer Details

Company Name (Print): \_\_\_\_\_

Nature of Business: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Name of Contact: \_\_\_\_\_

Position: \_\_\_\_\_

Email: \_\_\_\_\_

Contact for Apprentice: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Position: \_\_\_\_\_

Start Date of Employment: \_\_\_\_\_

Total Contracted hours including Directed Training \_\_\_\_\_

Start Date of Apprenticeship: \_\_\_\_\_

Expected Completion Date: \_\_\_\_\_

## 2. ApprenticeshipsNI 2021 Apprentice's Details

Trainee ID:

---

Framework:

---

Programme Level:

---

Name:

---

Address:

---

Postcode:

---

Client ID:

---

NINO:

---

Mobile Phone:

---

Email:

---

Start Date:

---

Expected Completion Date:

---

## 3. Training Provider Details

Training Provider:

---

Address:

---

Postcode:

---

Contact Telephone Number:

---

Contact Name:

---

Email:

---

#### **4. Employer Responsibilities**

- 4.1 To employ the *ApprenticeshipsNI 2021* apprentice named above on terms and conditions set out in a separate Contract of Employment.
- 4.2 **To pay the *ApprenticeshipsNI 2021* apprentice the appropriate rate for the job, complying with National Minimum Wage Regulations and provide permanent remunerative employment (a minimum of 21 contracted hours per week with one employer, which includes day release / off-the-job training directed training, which must be paid as part of the apprentice's contracted hours) for the apprentice, from day one on the programme.**
- 4.3 To provide the experience, facilities, and training necessary to achieve the training objective as discussed and agreed with the *ApprenticeshipsNI 2021* apprentice and specified in the PTP.
- 4.4 To comply with all relevant legal and contractual responsibilities in respect of health and safety, and to take steps to ensure equality of opportunity, regardless of community background, gender, marital status, disability, race, political opinion, sexual orientation, age, or dependents.
- 4.5 In a small number of cases, officials from the Department for the Economy may contact you directly to confirm that you have received the Employer Incentive payment, any such requests should be replied to in writing.

#### **5. ApprenticeshipsNI 2021 Apprentice Responsibilities**

- 5.1 To comply with the terms and conditions of the apprenticeship, including any conditions of employment laid down by the employer as referred to in paragraph (4.1) above.



- 5.2 To discuss and agree the PTP with the Employer and Contractor or their representative and, on a regular basis, jointly review progress towards the achievement of objectives any issues including lack of progress and attendance should be fully discussed and recorded.
- 5.3 To be diligent and punctual in work and training; and to strive consistently and conscientiously towards achieving each of the objectives set out in the PTP.
- 5.4 To behave at all times in a responsible manner and in accordance with health and safety requirements; and to promote the best interests of the employer.
- 5.5 To demonstrate commitment to the principles of identifying and recording achievement throughout the *ApprenticeshipsNI 2021* training.

## **6. Contractor's Responsibilities**

- 6.1 To monitor the training of the *ApprenticeshipsNI 2021* apprentice and confirm that the Contractor's quality assurance requirements, including health and safety obligation, are being met.
- 6.2 To use reasonable endeavours to arrange suitable alternative employment for the remainder of the apprenticeship, in the event that the *ApprenticeshipsNI 2021* apprentice's contract with the employer is terminated due to redundancy.
- 6.3 To make any agreed payments including Employer Incentive to the employer for the duration of the apprenticeship, in accordance with the funding arrangements set out in the contract between the Contractor and The Department.
- 6.4 To assist the *ApprenticeshipsNI 2021* apprentice to identify and record their achievement throughout the apprenticeship period.
- 6.5 To ensure, at the time of enrolment, that the employer and apprentice are aware of the programme requirements in relation to contracted hours, National Minimum Wage, and payment for time spent undertaking directed training.

**DECLARATION:**

*We, the undersigned, have read this ApprenticeshipsNI 2021 Delivery Agreement and accept the terms contained within it. It is understood that the Agreement does not constitute the basis of a contract of employment between any of the participating persons or organisations. All parties understand that an Employer Incentive payment is payable to the employer on successful completion of the apprenticeship framework .A copy of this Agreement will be held by each of the undersigned:*

**Apprentice:**

Name (PRINT): \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

**Employer:**

Name (PRINT): \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

**Training Provider (Authorised Signatory):**

Name (PRINT): \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

# ANNEX 5: Apprentice Enrolment Form including Equality Monitoring Form

**TAMS RECORD ONLY ACCEPTED FORM TO BE USED FOR REFERENCE ONLY**

## Apprentice Enrolment Form

### *ApprenticeshipsNI 2021*

#### 1. PROJECT DETAILS

Organisation: \_\_\_\_\_

Project Title - AppsNI 21 \_\_\_\_\_

Project Reference Number – 300476 \_\_\_\_\_

#### 2. GENERAL DETAILS

Postcode: \_\_\_\_\_

Contact Telephone Number: \_\_\_\_\_

Contact Email address: \_\_\_\_\_

National Insurance Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Age Today: \_\_\_\_\_

Do you consider yourself (Please tick)

Male  Female

#### 3. PERSONAL DETAILS

Bangladeshi  Black African  Black Caribbean  Black Other

Chinese  Indian  Irish Traveller  Malaysian  Pakistani

Vietnamese  White  Mixed Ethnic Group  Other Ethnic Group

**Including yourself, how many people living in your household are aged 18 and over?**

---

**How many dependants do you have?**

---

**Are you a Migrant? Yes  No**

**Note:** A **Migrant** is someone of a foreign background who has resided, or expects to reside, in the UK for at least 12 months (one year)

**Do you have a Disability or Health Condition? Yes  No**

**Note:** As outlined in the 1995 Disability Discrimination Act, a person has a disability or health condition if they have a physical or mental impairment that has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities for a period of at least 12 months

**4. QUALIFICATIONS**

**What is the highest level of qualification (or equivalent) that you held on joining the programme?**

**Note:** Please refer to section 4 of the 'Guidance Notes' to help determine the correct level of your qualifications.

No qualifications  Entry Level  Level 1  Level 2  Level 3

Level 4 or above  Other (Please detail):

**5. APPRENTICE DECLARATION**

***I declare that the details given on this form are true to the best of my knowledge and may be retained for as long as required for monitoring purposes.***

Name (Print): \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_



### **EQUALITY MONITORING FORM**

The following data is also captured in respect of the Department for the Economy equality monitoring policy. Completion of information is voluntary - Personal details will be treated in strict confidence and the information provided will NOT be used for any purpose other than the monitoring described above.

#### **What is your Marital Status?**

Divorced  Living with Partner  Married  Separated  Single

Widowed  Not Stated

#### **Your sexual orientation is towards someone:**

Of the same sex  Of the opposite sex

Of the same sex *and* the opposite sex

#### **What is your current political opinion?**

Nationalist  Unionist  Other

#### **What is your religious affiliation?**

Protestant  Roman Catholic  Other  Unknown / Refused

## GUIDANCE NOTES

The Department collects information from its customer in order to facilitate the delivery of its services. The information we collect about you will depend on the nature of your business with us and may be used for any of the Department's legitimate purposes. Information held by us may be used to check information provided by you, or information about you that has been provided by a third party. **We may get information about you from certain third parties, or give information to them in order:**

- To check the accuracy of information;
- To prevent or detect crime or to protect public funds in other ways;
- To protect public funds;
- For research and statistical purposes; or
- For other reasons permitted by law.

These third parties may include other government departments and agencies, authorities administering social security, employers, educational bodies, academic bodies, research providers, health service providers, law enforcement agencies, training providers, job brokers, partners or agents authorised by the Department to undertake any function on its behalf.

## CONFIDENTIALITY STATEMENT

We will not disclose information about you to anyone outside the Department unless the law permits disclosure or unless we have your consent to do so.

The Department is the Data Controller for the purposes of the General Data Protection Regulation (GDPR). As such the Department is responsible for ensuring security and accuracy of the personal data we hold. If you want to know more about what information we have about you, or the way we use such information, your Training Contractor will provide you with a copy of the *ApprenticeshipsNI 2021* Privacy Notice, which outlines this information.

## COMPLETION INSTRUCTIONS

### 1. PROJECT DETAILS

**Please include the following details:**

- The full name of the Training Contractor organisation

The Project Title and Project Reference number have been pre-completed for your convenience. Please ensure this form is used to enrol apprentices on the ***Apprenticeships 2021 programme only***, as these details differ from those used in other programmes.

### 2. GENERAL DETAILS

**Please include the following details:**

- Your name, address, postcode, telephone number and contact email address.
- Your National Insurance number
- Your date of birth and age at enrolment
- Your gender

### 3. PERSONAL DETAILS

**Which one of the following ethnic / racial groups do you consider you belong to?**

Please tick the relevant box to indicate which ethnic or racial group you feel you belong to. The most common groups have been included as options but there are also options available for those who feel they have a mixed ethnicity / race or that they belong to another ethnic or racial group that has not been mentioned.



### **How many people aged 18 and over live in your household?**

Please write in the box the number of people who live in your household are aged 18 and above. Make sure you include yourself in this number.

### **How many dependents do you have?**

Please write in the box the number of dependents you have. A dependent is someone you take personal responsibility for the care of, and is usually a child, a person with a disability, or a dependent older person.

### **Do you belong to any of the following groups?**

Please tick the relevant box if you belong to any of the following groups:

- **Migrant:** A migrant is someone of a foreign background who has resided, or expects to reside, in the UK for at least 12 months (one year).
- **Person with a disability or health condition:** Disability or health condition refers to apprentices who have a current disability covered by the 1995 Disability Discrimination Act, defined as a disabled person as someone who has a physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities for a period of at least 12 months.

#### **4. QUALIFICATIONS**

##### **What is the highest level of qualification (or equivalent) that you hold?**

Please tick one of the boxes to show the highest level of qualification you held on joining the programme.

Please see below to find out the level of your qualification which gives the RQF/NQF Level or equivalent) and examples of qualifications.

##### **Entry Level**

Essential Skills Qualifications (NI) (entry levels 1-3)

Functional Skills Entry Level (England)

Entry Level Certificates (sub levels 1-3)

Scottish National Level 3 or below

##### **Level 1**

GCSEs at grades D-G (NI)

GCSEs at grades 3-1 (England)

Technical/Vocational Qualifications Level 1 e.g. NVQ Level 1

Essential Skills Qualifications (NI) Level 1

Functional Skills Level 1 (England)

Welsh Baccalaureate Foundation

Junior Certificate (Republic of Ireland)

Scottish National Level 4

##### **Level 2**

GCSEs at grades A\*-C (NI)

GCSEs at grades 4-9 (England)

Technical/Vocational Qualifications Level 2 e.g. NVQ Level 2

Essential Skills Qualifications (NI) Level 2

Functional Skills Level 2 (England)

Welsh Baccalaureate National

Leaving Certificate (Ordinary) (Republic of Ireland)

Scottish National Level 5

##### **Level 3**

GCE A Levels

GCE AS Levels

Technical/Vocational Qualifications Level 3 e.g. NVQ Level 3

Access to Higher Education Diploma

Welsh Baccalaureate Advanced

Leaving Certificate (Higher) (Republic of Ireland)

Scottish Higher

#### **Level 4**

Higher National Certificates (HNC)

Certificates of Higher Education (CertHE)

Technical/Vocational Qualifications Level 4 e.g. NVQ Level 4

#### **Level 5**

Higher National Diplomas (HND)

Foundation Degrees

Diplomas of Higher Education (DipHE)

Technical/Vocational Qualifications Level 5 e.g. NVQ Level 5

#### **Level 6**

Bachelor's Degrees with Honours

Bachelor's Degrees

Graduate Diplomas

Graduate Certificates

Technical/Vocational Qualifications Level 6 e.g. NVQ Level 6

#### **Level 7**

Master's Degrees

Integrated Master's Degrees

Postgraduate Diplomas

Postgraduate Certificate in Education (PGCE)

Technical/Vocational Qualifications Level 7 e.g. NVQ Level 7

#### **Level 8**

Doctoral Degrees (PhDs)

Technical/Vocational Qualifications Level 8

## ANNEX 6: Disability and Special Need Codes

<b>CODE</b>	<b>DISABILITY CATEGORY</b>
27	Alcohol Dependency
28	ADHD / ADD
29	Anxiety Disorder / Panic Attacks
30	ANXS Anaphylaxis
31	Arthritis
32	Asperger's Syndrome
33	Autism
34	Back and Neck Injury
35	Bipolar / Schizophrenia
36	Cardiovascular
37	Cerebral Palsy
38	Cancer
39	Communication and Interaction
41	Depression (Severe)
42	Diabetes
43	Downs Syndrome
45	Dyscalculia
46	Dyslexia
47	Dyspraxia
48	Epilepsy
50	Head / Traumatic Brain Injury
51	Hearing Impairment
52	Hydrocephalus / Spina Bifida
54	ME / Fibromyalgia
55	Medical Conditions / Syndromes
56	Metabolic Disorders
57	Mild/Moderate Learning Disability
58	Multi-Sensory Impairment
59	Multiple Sclerosis
60	Muscular Dystrophy
61	Obsessive Compulsory Disorder
62	Other
63	Respiratory Conditions
65	Personality Disorder
66	Physical Other
67	Post-Traumatic Stress Disorder
68	Sensory
69	Severe Learning Disability
70	Significant Accidental Injury
71	Social, Emotional & Behavioural
72	Visual Impairment
73	Speech and Language Impairments

<b>CODE</b>	<b>SPECIAL NEED CATEGORIES</b>
-------------	--------------------------------

1	Literacy Problems
2	Numeracy Problems
3	Literacy & Numeracy Problems
4	Linguistic Problems
5	Behavioural Problems
6	Serious Behavioural Problems
7	Lacking Motivation
8	In Care Background
0	Other

## ANNEX 7: SOC and RRQ Codes

The following lists of SOC and RRQ Codes are included for your convenience. These are not comprehensive lists but should provide suitable codes for the majority of occupational and study areas.

- Further information about RRQ Codes is available from Ofqual via the UK Government website at the following link:  
[Types of Regulated Qualifications](#)
- Further information about SOC Codes, including a useful search tool, is available from the Office of National Statistics (ONS) website at the following link: [Standard Occupational Classifications](#)

RRQ SECTOR SUBJECT AREAS	
<b>1</b>	<b>Health, Public Services and Care</b>
1.1	Medicine and dentistry
1.2	Nursing, and subjects and vocations allied to medicine
1.3	Health and social care
1.4	Public services <b>Includes Housing</b>
1.5	Child development and well being
<b>2</b>	<b>Science and Mathematics</b>
2.1	Science
2.2	Mathematics and statistics
<b>3</b>	<b>Agriculture, Horticulture and Animal Care</b>
3.1	Agriculture
3.2	Horticulture and forestry
3.3	Animal care and veterinary science
3.4	Environmental conservation

<b>RRQ SECTOR SUBJECT AREAS</b>	
<b>4</b>	<b>Engineering and Manufacturing Technologies</b>
4.1	Engineering
4.2	Manufacturing technologies
4.3	Transportation operations and maintenance
<b>5</b>	<b>Construction, Planning and the Built Environment</b>
5.1	Architecture
5.2	Building and construction
5.3	Urban, rural and regional planning
<b>6</b>	<b>Information and Communication Technology (ICT)</b>
6.1	ICT practitioners
6.2	ICT for users
<b>7</b>	<b>Retail &amp; Commercial Enterprise</b>
7.1	Retailing and wholesaling
7.2	Warehousing and distribution
7.3	Service enterprises
7.4	Hospitality and catering
<b>8</b>	<b>Leisure, Travel and Tourism</b>
8.1	Sport, leisure and recreation
8.2	Travel and tourism
<b>9</b>	<b>Arts, Media and Publishing</b>
9.1	Performing arts
9.2	Crafts, creative arts and design
9.3	Media and communication
9.4	Publishing and information services

<b>RRQ SECTOR SUBJECT AREAS</b>	
<b>10</b>	<b>History, Philosophy &amp; Theology</b>
10.1	History
10.2	Archaeology and archaeological sciences
10.3	Philosophy
10.4	Theology and religious studies
<b>11</b>	<b>Social Sciences</b>
11.1	Geography
11.2	Sociology and social policy
11.3	Politics
11.4	Economics
11.5	Anthropology
<b>12</b>	<b>Languages, Literature and Culture</b>
12.1	Languages, literature and culture of the British isles
12.2	Other languages, literature and culture
12.3	Linguistics
<b>13</b>	<b>Education and Training</b>
13.1	Teaching and lecturing
13.2	Direct learning support
<b>14</b>	<b>Preparation for Life and Work</b>
14.1	Foundations for learning and life
14.2	Preparation for work



<b>RRQ SECTOR SUBJECT AREAS</b>	
<b>15</b>	<b>Business, Administration, Finance and Law</b>
15.1	Accounting and finance
15.2	Administration
15.3	Business management
15.4	Marketing and sales
15.5	Law and legal services

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
<b>MANAGERS, DIRECTORS AND SENIOR OFFICIALS</b>	
<b>CORPORATE MANAGERS AND DIRECTORS</b>	
<b>Chief Executives and Senior Officials</b>	
1111	SENIOR OFFICIALS IN NATIONAL GOVERNMENT
1112	DIRECTORS AND CHIEF EXECUTIVES OF MAJOR ORGANISATIONS
1113	SENIOR OFFICIALS IN LOCAL GOVERNMENT
1114	SENIOR OFFICIALS OF SPECIAL INTEREST ORGANISATIONS
<b>Production Managers and Directors</b>	
1121	PRODUCTION, WORKS AND MAINTENANCE MANAGERS
1122	MANAGERS IN CONSTRUCTION (K91)
1123	MANAGERS IN MINING AND ENERGY
<b>Functional Managers and Directors</b>	
1131	FINANCIAL MANAGERS AND CHARTERED SECRETARIES
1132	MARKETING AND SALES MANAGERS (D91)
1133	PURCHASING MANAGERS (A91)
1134	ADVERTISING AND PUBLIC RELATIONS MANAGERS (D91)
1135	PERSONNEL, TRAINING AND INDUSTRIAL RELATIONS MANAGERS (A91/B91)
1136	INFORMATION AND COMMUNICATION TECHNOLOGY MANAGERS (A91/A42)
1137	RESEARCH AND DEVELOPMENT MANAGERS
1141	QUALITY ASSURANCE MANAGERS
1142	CUSTOMER CARE MANAGERS
<b>Financial Institution Managers and Directors</b>	
1151	FINANCIAL INSTITUTION MANAGERS (A91)
1152	OFFICE MANAGERS (A91)
<b>Managers and Directors in Transport and Logistics</b>	
1161	TRANSPORT AND DISTRIBUTION MANAGERS (J91)
1162	STORAGE AND WAREHOUSE MANAGERS
1163	RETAIL AND WHOLESALE MANAGERS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
<b>Senior Officers in Protective Services</b>	
1171	OFFICERS IN ARMED FORCES
1172	POLICE OFFICERS (INSPECTORS AND ABOVE)
1173	SENIOR OFFICERS IN FIRE, AMBULANCE, PRISON AND RELATED SERVICES (T91)
1174	SECURITY MANAGERS
<b>Health and Social Services Managers and Directors</b>	
1181	HOSPITAL AND HEALTH SERVICE MANAGERS
1182	PHARMACY MANAGERS
1183	HEALTHCARE PRACTICE MANAGERS
1184	SOCIAL SERVICES MANAGERS
1185	RESIDENTIAL AND DAY CARE MANAGERS
<b>OTHER MANAGERS AND PROPRIETORS</b>	
<b>Managers and Proprietors in Agriculture Related Services</b>	
1211	FARM MANAGERS (G91/G12)
1212	NATURAL ENVIRONMENT AND CONSERVATION MANAGERS
1219	MANAGERS IN ANIMAL HUSBANDRY, FORESTRY AND FISHING N.E.C.
<b>Managers and Proprietors in Hospitality and Leisure Services</b>	
1221	HOTEL AND ACCOMMODATION MANAGERS (F91)
1222	CONFERENCE AND EXHIBITION MANAGERS
1223	RESTAURANT AND CATERING MANAGERS (F91)
1224	PUBLICANS AND MANAGERS OF LICENSED PREMISES (F13)
1225	LEISURE AND SPORTS MANAGERS (B91)
1226	TRAVEL AGENCY MANAGERS
<b>Managers and Proprietors in Other Services</b>	
1231	PROPERTY, HOUSING AND LAND MANAGERS
1232	GARAGE MANAGERS AND PROPRIETORS
1233	HAIRDRESSING AND BEAUTY SALON MANAGERS AND PROPRIETORS
1234	SHOPKEEPERS AND WHOLESALE/RETAIL DEALERS
1235	RECYCLING AND REFUSE DISPOSAL MANAGERS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
1239	MANAGERS AND PROPRIETORS IN OTHER SERVICES N.E.C. (A91)
<b>PROFESSIONAL OCCUPATIONS</b>	
<b>SCIENCE, RESEARCH, ENGINEERING AND TECHNOLOGY PROFESSIONALS</b>	
<b>Natural and Social Science Professionals</b>	
2111	CHEMISTS (W11)
2112	BIOLOGICAL SCIENTISTS AND BIOCHEMISTS
2113	PHYSICISTS, GEOLOGISTS AND METEOROLOGISTS
<b>Engineering Professionals</b>	
2121	CIVIL ENGINEERS (L11)
2122	MECHANICAL ENGINEERS
2123	ELECTRICAL ENGINEERS
2124	ELECTRONICS ENGINEERS
2125	CHEMICAL ENGINEERS
2126	DESIGN AND DEVELOPMENT ENGINEERS (X91)
2127	PRODUCTION AND PROCESS ENGINEERS (W11/X14)
2128	PLANNING AND QUALITY CONTROL ENGINEERS (X14)
2129	ENGINEERING PROFESSIONALS N.E.C. (X11/X12/X13/X13)
<b>Information Technology and Telecommunications Professionals</b>	
2131	IT STRATEGY AND PLANNING PROFESSIONALS
2132	SOFTWARE PROFESSIONALS
<b>HEALTH PROFESSIONALS</b>	
<b>Health Professionals</b>	
2211	MEDICAL PRACTITIONERS
2212	PSYCHOLOGISTS
2213	PHARMACISTS/PHARMACOLOGISTS (W11)
2214	OPHTHALMIC OPTICIANS
2215	DENTAL PRACTITIONERS
2216	VETERINARIANS
<b>TEACHING AND EDUCATIONAL PROFESSIONALS</b>	

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
<b>Teaching and Educational Professionals</b>	
2311	HIGHER EDUCATION TEACHING PROFESSIONALS
2312	FURTHER EDUCATION TEACHING PROFESSIONALS
2313	EDUCATION OFFICERS, SCHOOL INSPECTORS
2314	SECONDARY EDUCATION TEACHING PROFESSIONALS
2315	PRIMARY AND NURSERY EDUCATION TEACHING PROFESSIONALS
2316	SPECIAL NEEDS EDUCATION TEACHING PROFESSIONALS
2317	REGISTRARS AND SENIOR ADMINISTRATORS OF EDUCATIONAL ESTABLISHMENTS
2319	TEACHING PROFESSIONALS N.E.C. (B31)
2321	SCIENTIFIC RESEARCHERS
2322	SOCIAL SCIENCE RESEARCHERS
2329	RESEARCHERS N.E.C. (E91/W91)
<b>BUSINESS, MEDIA AND PUBLIC SERVICE PROFESSIONALS</b>	
<b>Legal Professionals</b>	
2411	SOLICITORS AND LAWYERS, JUDGES AND CORONERS
2419	LEGAL PROFESSIONALS N.E.C.
<b>Business, Research and Administrative Professionals</b>	
2421	CHARTERED AND CERTIFIED ACCOUNTANTS
2422	MANAGEMENT ACCOUNTANTS
2423	MANAGEMENT CONSULTANTS, ACTUARIES, ECONOMISTS AND STATISTICIANS
<b>Architects, Town Planners and Surveyors</b>	
2431	ARCHITECTS
2432	TOWN PLANNERS
2433	QUANTITY SURVEYORS (K11/K91)
2434	CHARTERED SURVEYORS (NOT QUANTITY SURVEYORS) (K11/K91)
2441	PUBLIC SERVICE ADMINISTRATIVE PROFESSIONALS
<b>Welfare Professionals</b>	
2442	SOCIAL WORKERS (C21)
2443	PROBATION OFFICERS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
2444	CLERGY
<b>Librarians and Related Professionals</b>	
2451	LIBRARIANS
2452	ARCHIVISTS AND CURATORS
<b>ASSOCIATE PROFESSIONAL AND TECHNICAL OCCUPATIONS</b>	
<b>SCIENCE, ENGINEERING AND TECHNOLOGY ASSOCIATE PROFESSIONALS</b>	
<b>Science, Engineering and Production Technicians</b>	
3111	LABORATORY TECHNICIANS (W11)
3112	ELECTRICAL/ELECTRONICS TECHNICIANS (K14/X13)
3113	ENGINEERING TECHNICIANS (W11)
3114	BUILDING AND CIVIL ENGINEERING TECHNICIANS (K12)
3115	QUALITY ASSURANCE TECHNICIANS
3119	SCIENCE AND ENGINEERING TECHNICIANS N.E.C. (K11/K12/K13/K14/K15)
<b>Draughtspersons and Related Architectural Technicians</b>	
3121	ARCHITECTURAL AND TOWN PLANNING TECHNICIANS (K11/X14)
3122	DRAUGHTSPERSONS
3123	BUILDING INSPECTORS
<b>Information Technology Technicians</b>	
3131	IT OPERATIONS TECHNICIANS
3132	IT USER SUPPORT TECHNICIANS
<b>HEALTH AND SOCIAL CARE ASSOCIATE PROFESSIONALS</b>	
<b>Health Associate Professionals</b>	
3211	NURSES
3212	MIDWIVES
3213	PARAMEDICS
3214	MEDICAL RADIOGRAPHERS
3215	CHIROPODISTS
3216	DISPENSING OPTICIANS
3217	PHARMACEUTICAL DISPENSERS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
3218	MEDICAL AND DENTAL TECHNICIANS (C13/C14/E13)
3221	PHYSIOTHERAPISTS
3222	OCCUPATIONAL THERAPISTS
3223	SPEECH AND LANGUAGE THERAPISTS
3229	THERAPISTS N.E.C. (C13/C14)
<b>Welfare and Housing Associate Professionals</b>	
3231	YOUTH AND COMMUNITY WORKERS (C21)
3232	HOUSING AND WELFARE OFFICERS
<b>PROTECTIVE SERVICE OCCUPATIONS</b>	
<b>Protective Service Occupations</b>	
3311	NCOS AND OTHER RANKS
3312	POLICE OFFICERS (SERGEANT AND BELOW)
3313	FIRE SERVICE OFFICERS (LEADING FIRE OFFICER AND BELOW) (T11)
3314	PRISON SERVICE OFFICERS (BELOW PRINCIPAL OFFICER) (T11)
3319	PROTECTIVE SERVICE ASSOCIATE PROFESSIONALS N.E.C.
<b>CULTURE, MEDIA AND SPORTS OCCUPATIONS</b>	
<b>Artistic, Literary and Media Occupations</b>	
3411	ARTISTS
3412	AUTHORS, WRITERS (B21/R11)
3413	ACTORS, ENTERTAINERS (B14)
3414	DANCERS AND CHOREOGRAPHERS
3415	MUSICIANS
3416	ARTS OFFICERS, PRODUCERS AND DIRECTORS
<b>Design Occupations</b>	
3421	GRAPHIC DESIGNERS (B11)
3422	PRODUCT, CLOTHING AND RELATED DESIGNERS (B11)
<b>Media Professionals</b>	
3431	JOURNALISTS, NEWSPAPER AND PERIODICAL EDITORS
3432	BROADCASTING ASSOCIATE PROFESSIONALS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
3433	PUBLIC RELATIONS OFFICERS
3434	PHOTOGRAPHERS AND AUDIO-VISUAL EQUIPMENT OPERATORS (B13)
<b>Sports and Fitness Occupations</b>	
3441	SPORTS PLAYERS
3442	SPORTS COACHES, INSTRUCTORS AND OFFICIALS (B41)
3443	FITNESS INSTRUCTORS
3449	SPORTS AND FITNESS OCCUPATIONS N.E.C.
<b>BUSINESS AND PUBLIC SERVICE ASSOCIATE PROFESSIONALS</b>	
<b>Transport Associate Professionals</b>	
3511	AIR TRAFFIC CONTROLLERS
3512	AIRCRAFT PILOTS AND FLIGHT ENGINEERS
3513	SHIP AND HOVERCRAFT OFFICERS (J11/J91)
3514	TRAIN DRIVERS (J11)
<b>Legal Associate Professionals</b>	
3520	LEGAL ASSOCIATE PROFESSIONALS (A12)
<b>Business, Finance and Related Associate Professionals</b>	
3531	ESTIMATORS, VALUERS AND ASSESSORS
3532	BROKERS (A12)
3533	INSURANCE UNDERWRITERS
3534	FINANCE AND INVESTMENT ANALYSTS/ADVISERS
3535	TAXATION EXPERTS (A12/A13)
3536	IMPORTERS, EXPORTERS
3537	FINANCIAL AND ACCOUNTING TECHNICIANS
3539	BUSINESS AND RELATED ASSOCIATE PROFESSIONALS N.E.C.
<b>Sales, Marketing and Related Associate Professionals</b>	
3541	BUYERS AND PURCHASING OFFICERS (A14/D11)
3542	SALES REPRESENTATIVES
3543	MARKETING ASSOCIATE PROFESSIONALS
3544	ESTATE AGENTS, AUCTIONEERS (D91)



<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
<b>Conservation and Environmental Associate Professionals</b>	
3551	CONSERVATION AND ENVIRONMENTAL PROTECTION OFFICERS
3552	COUNTRYSIDE AND PARK RANGERS
<b>Public Services and Other Associate Professionals</b>	
3561	PUBLIC SERVICE ASSOCIATE PROFESSIONALS
3562	PERSONNEL AND INDUSTRIAL RELATIONS OFFICERS
3563	VOCATIONAL AND INDUSTRIAL TRAINERS AND INSTRUCTORS (B31)
3564	CAREERS ADVISERS AND VOCATIONAL GUIDANCE SPECIALISTS (B32)
3565	INSPECTORS OF FACTORIES, UTILITIES AND TRADING STANDARDS (E14)
3566	STATUTORY EXAMINERS (G91)
3567	OCCUPATIONAL HYGIENISTS AND SAFETY OFFICERS (HEALTH AND SAFETY) (C14)
3568	ENVIRONMENTAL HEALTH OFFICERS (E14)
<b>ADMINISTRATIVE AND SECRETARIAL OCCUPATIONS</b>	
<b>ADMINISTRATIVE OCCUPATIONS</b>	
<b>Administrative Occupations: Government and Related Organisations</b>	
4111	CIVIL SERVICE EXECUTIVE OFFICERS
4112	CIVIL SERVICE ADMINISTRATIVE OFFICERS AND ASSISTANTS
4113	LOCAL GOVERNMENT CLERICAL OFFICERS AND ASSISTANTS (A15)
4114	OFFICERS OF NON-GOVERNMENTAL ORGANISATIONS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
<b>Administrative Occupations: Finance</b>	
4121	CREDIT CONTROLLERS
4122	ACCOUNTS AND WAGES CLERKS, BOOK-KEEPERS, OTHER FINANCIAL CLERKS (A15)
4123	COUNTER CLERKS (A12/A16)
<b>Administrative Occupations: Records</b>	
4131	FILING AND OTHER RECORDS ASSISTANTS/CLERKS
4132	PENSIONS AND INSURANCE CLERKS
4133	STOCK CONTROL CLERKS (D13)
4134	TRANSPORT AND DISTRIBUTION CLERKS
4135	LIBRARY ASSISTANTS/CLERKS (A12)
4136	DATABASE ASSISTANTS/CLERKS (A42)
4137	MARKET RESEARCH INTERVIEWERS
4141	TELEPHONISTS
4142	COMMUNICATION OPERATORS
4150	GENERAL OFFICE ASSISTANTS/CLERKS (A15)
<b>SECRETARIAL AND RELATED OCCUPATIONS</b>	
<b>Secretarial and Related Occupations</b>	
4211	MEDICAL SECRETARIES
4212	LEGAL SECRETARIES
4213	SCHOOL SECRETARIES
4214	COMPANY SECRETARIES
4215	PERSONAL ASSISTANTS AND OTHER SECRETARIES
4216	RECEPTIONISTS (A16/F13)
4217	TYPISTS
<b>SKILLED TRADES OCCUPATIONS</b>	
<b>SKILLED AGRICULTURAL AND RELATED TRADES</b>	
<b>Agricultural and Related Trades</b>	
5111	FARMERS
5112	HORTICULTURAL TRADES (G12)

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
5113	GARDENERS AND GROUNDSMEN/GROUNDSWOMEN (G12)
5119	AGRICULTURAL AND FISHING TRADES N.E.C. (G91/G13/H11/H91)
<b>SKILLED METAL, ELECTRICAL AND ELECTRONIC TRADES</b>	
<b>Metal Forming, Welding and Related Trades</b>	
5211	SMITHS AND FORGE WORKERS
5212	MOULDERS, CORE MAKERS, DIE CASTERS (X11)
5213	SHEET METAL WORKERS (W11)
5214	METAL PLATE WORKERS, SHIPWRIGHTS, RIVETERS
5215	WELDING TRADES (X11)
5216	PIPE FITTERS
<b>Metal Machining, Fitting and Instrument Making Trades</b>	
5221	METAL MACHINING SETTERS AND SETTER-OPERATORS (W11/X11)
5222	TOOL MAKERS, TOOL FITTERS AND MARKERS-OUT (W11/X11)
5223	METAL WORKING PRODUCTION AND MAINTENANCE FITTERS (X11)
5224	PRECISION INSTRUMENT MAKERS AND REPAIRERS
<b>Vehicle Trades</b>	
5231	MOTOR MECHANICS, AUTO ENGINEERS (P11)
5232	VEHICLE BODY BUILDERS AND REPAIRERS (P11)
5233	AUTO ELECTRICIANS (P11)
5234	VEHICLE SPRAY PAINTERS
<b>Electrical and Electronic Trades</b>	
5241	ELECTRICIANS, ELECTRICAL FITTERS (X12/X13)
5242	TELECOMMUNICATIONS ENGINEERS (X12)
5243	LINES REPAIRERS AND CABLE JOINTERS (X12)
5244	TV, VIDEO AND AUDIO ENGINEERS (X11)
5245	COMPUTER ENGINEERS, INSTALLATION AND MAINTENANCE (A41)
5249	ELECTRICAL/ELECTRONICS ENGINEERS N.E.C. (X12/X13)
<b>SKILLED CONSTRUCTION AND BUILDING TRADES</b>	
<b>Construction and Building Trades</b>	

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
5311	STEEL ERECTORS
5312	BRICKLAYERS, MASONS (K13)
5313	ROOFERS, ROOF TILERS AND SLATERS (K13)
5314	PLUMBERS, HEATING AND VENTILATING ENGINEERS (K14)
5315	CARPENTERS AND JOINERS (K15)
5316	GLAZIERS, WINDOW FABRICATORS AND FITTERS (K15)
5319	CONSTRUCTION TRADES N.E.C. (K12/K13)
<b>Building Finishing Trades</b>	
5321	PLASTERERS (K15)
5322	FLOORERS AND WALL TILERS (K15)
5323	PAINTERS AND DECORATORS (K15)
<b>TEXTILES, PRINTING AND OTHER SKILLED TRADES</b>	
<b>Textiles and Garments Trades</b>	
5411	WEAVERS AND KNITTERS
5412	UPHOLSTERERS (W11)
5413	LEATHER AND RELATED TRADES (W11)
5414	TAILORS AND DRESSMAKERS (W11)
5419	TEXTILES, GARMENTS AND RELATED TRADES N.E.C. (B12)
<b>Printing Trades</b>	
5421	ORIGINATORS, COMPOSITORS AND PRINT PREPARERS (R11)
5422	PRINTERS (R11)
5423	BOOKBINDERS AND PRINT FINISHERS (B21/R11)
5424	SCREEN PRINTERS (R11)
<b>Food Preparation and Hospitality Trades</b>	
5431	BUTCHERS, MEAT CUTTERS (F12)
5432	BAKERS, FLOUR CONFECTIONERS (F11)
5433	FISHMONGERS, POULTRY DRESSERS (F12)
5434	CHEFS, COOKS (F11)
5436	MANAGER (CATERING)

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
<b>Other Skilled Trades</b>	
5491	GLASS AND CERAMICS MAKERS, DECORATORS AND FINISHERS (W11)
5492	FURNITURE MAKERS, OTHER CRAFT WOODWORKERS (W11)
5493	PATTERN MAKERS (MOULDS) (W11)
5494	MUSICAL INSTRUMENT MAKERS AND TUNERS
5495	GOLDSMITHS, SILVERSMITHS, PRECIOUS STONE WORKERS (B12)
5496	FLORAL ARRANGERS, FLORISTS
5499	HAND CRAFT OCCUPATIONS N.E.C.
<b>CARING, LEISURE AND OTHER SERVICE OCCUPATIONS</b>	
<b>CARING PERSONAL SERVICE OCCUPATIONS</b>	
<b>Childcare and Related Personal Services</b>	
6111	NURSING AUXILIARIES AND ASSISTANTS (C31)
6112	AMBULANCE STAFF (EXCLUDING PARAMEDICS)
6113	DENTAL NURSES (C14)
6114	HOUSEPARENTS AND RESIDENTIAL WARDENS
6115	CARE ASSISTANTS AND HOME CARERS (C21)
6121	NURSERY NURSES (C21)
6122	CHILDMINDERS AND RELATED OCCUPATIONS (B31)
6123	PLAYGROUP LEADERS/ASSISTANTS (C21)
6124	EDUCATIONAL ASSISTANTS (C21)
<b>Animal Care and Control Services</b>	
6131	VETERINARY NURSES AND ASSISTANTS (C11/C12/C13/C14/C15/C21/C31/C32/C33)
6139	ANIMAL CARE OCCUPATIONS N.E.C. (G11)
<b>LEISURE, TRAVEL AND RELATED PERSONAL SERVICE OCCUPATIONS</b>	
<b>Leisure and Travel Services</b>	
6211	SPORTS AND LEISURE ASSISTANTS
6212	TRAVEL AGENTS (B91/D91)
6213	TRAVEL AND TOUR GUIDES
6214	AIR TRAVEL ASSISTANTS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
6215	RAIL TRAVEL ASSISTANTS
6219	LEISURE AND TRAVEL SERVICE OCCUPATIONS N.E.C. (A15/B41)
<b>Hairdressers and Related Services</b>	
6221	HAIRDRESSERS, BARBERS (C32)
6222	BEAUTICIANS AND RELATED OCCUPATIONS (C32)
<b>Housekeeping and Related Services</b>	
6231	HOUSEKEEPERS AND RELATED OCCUPATIONS
6232	CARETAKERS (C31)
<b>Other Personal Service Occupations</b>	
6291	UNDERTAKERS AND MORTUARY ASSISTANTS
<b>Other Labourers Occupations</b>	
6292	PEST CONTROL OFFICERS
<b>SALES AND CUSTOMER SERVICE OCCUPATIONS</b>	
<b>SALES OCCUPATIONS</b>	
<b>Sales Assistants and Retail Cashiers</b>	
7111	SALES AND RETAIL ASSISTANTS (D11)
7112	RETAIL CASHIERS AND CHECK-OUT OPERATORS (D11)
7113	TELEPHONE SALESPERSONS (D11)
<b>Sales Related Occupations</b>	
7121	COLLECTOR SALESPERSONS AND CREDIT AGENTS
7122	DEBT, RENT AND OTHER CASH COLLECTORS
7123	ROUNDSMEN/WOMEN AND VAN SALESPERSONS (D11)
7124	MARKET AND STREET TRADERS AND ASSISTANTS
7125	MERCHANDISERS AND WINDOW DRESSERS (D12)
7129	SALES RELATED OCCUPATIONS N.E.C.
<b>CUSTOMER SERVICE OCCUPATIONS</b>	
<b>Customer Service Occupations</b>	
7211	CALL CENTRE AGENTS/OPERATORS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
7212	CUSTOMER CARE OCCUPATIONS
<b>Customer Service Managers and Supervisors</b>	
7220	CUSTOMER SERVICE MANAGERS AND SUPERVISORS
<b>PROCESS, PLANT AND MACHINE OPERATIVES</b>	
<b>Process Operatives</b>	
8111	FOOD, DRINK AND TOBACCO PROCESS OPERATIVES (W11/X11)
8112	GLASS AND CERAMICS PROCESS OPERATIVES (W11)
8113	TEXTILE PROCESS OPERATIVES
8114	CHEMICAL AND RELATED PROCESS OPERATIVES (W11)
8115	RUBBER PROCESS OPERATIVES (W11)
8116	PLASTICS PROCESS OPERATIVES (W11)
8117	METAL MAKING AND TREATING PROCESS OPERATIVES
8118	ELECTROPLATERS
8119	PROCESS OPERATIVES N.E.C. (W11)
<b>Plant and Machine Operatives</b>	
8121	PAPER AND WOOD MACHINE OPERATIVES (W11)
8122	COAL MINE OPERATIVES
8123	QUARRY WORKERS AND RELATED OPERATIVES
8124	ENERGY PLANT OPERATIVES (X12)
8125	METAL WORKING MACHINE OPERATIVES (X11)
8126	WATER AND SEWERAGE PLANT OPERATIVES (K12)
8129	PLANT AND MACHINE OPERATIVES N.E.C.
<b>Assemblers and Routine Operatives</b>	
8131	ASSEMBLERS (ELECTRICAL PRODUCTS)
8132	ASSEMBLERS (VEHICLES AND METAL GOODS)
8133	ROUTINE INSPECTORS AND TESTERS
8134	WEIGHERS, GRADERS, SORTERS
8135	TYRE, EXHAUST AND WINDSCREEN FITTERS (J11)
8136	CLOTHING CUTTERS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
8137	SEWING MACHINISTS (W11)
8138	ROUTINE LABORATORY TESTERS (W11)
8139	ASSEMBLERS AND ROUTINE OPERATIVES N.E.C. (W11)
<b>Construction Operatives</b>	
8141	SCAFFOLDERS, STAGERS, RIGGERS (K12)
8142	ROAD CONSTRUCTION OPERATIVES (K12/K13)
8143	RAIL CONSTRUCTION AND MAINTENANCE OPERATIVES
8149	CONSTRUCTION OPERATIVES N.E.C. (K12/X11)
<b>TRANSPORT AND MOBILE MACHINE DRIVERS AND OPERATIVES</b>	
<b>Road Transport Drivers</b>	
8211	HEAVY GOODS VEHICLE DRIVERS
8212	VAN DRIVERS (J11)
8213	BUS AND COACH DRIVERS (J11)
8214	TAXI, CAB DRIVERS AND CHAUFFEURS
8215	DRIVING INSTRUCTORS (J11)
8216	RAIL TRANSPORT OPERATIVES (J11)
8217	SEAFARERS (MERCHANT NAVY); BARGE, LIGHTER AND BOAT OPERATIVES (J11)
8218	AIR TRANSPORT OPERATIVES
8219	TRANSPORT OPERATIVES N.E.C.
<b>Mobile Machine Drivers and Operatives</b>	
8221	CRANE DRIVERS (K12)
8222	FORK-LIFT TRUCK DRIVERS (J11)
8223	AGRICULTURAL MACHINERY DRIVERS
8229	MOBILE MACHINE DRIVERS AND OPERATIVES N.E.C. (K12)
<b>ELEMENTARY OCCUPATIONS</b>	
<b>ELEMENTARY TRADES AND RELATED OCCUPATIONS</b>	
<b>Elementary Agricultural Occupations</b>	
9111	FARM WORKERS (G11)
9112	FORESTRY WORKERS (G13)



<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
9119	FISHING AND AGRICULTURE RELATED OCCUPATIONS N.E.C.
<b>Elementary Construction Occupations</b>	
9121	LABOURERS IN BUILDING AND WOODWORKING TRADES
9129	LABOURERS IN OTHER CONSTRUCTION TRADES N.E.C. (K12)
9131	LABOURERS IN FOUNDRIES
<b>Elementary Process Plant Occupations</b>	
9132	INDUSTRIAL CLEANING PROCESS OCCUPATIONS
9133	PRINTING MACHINE MINDERS AND ASSISTANTS
9134	PACKERS, BOTTLERS, CANNERS, FILLERS (W11)
9139	LABOURERS IN PROCESS AND PLANT OPERATIONS N.E.C. (K14)
9141	STEVEDORES, DOCKERS AND SLINGERS
9149	OTHER GOODS HANDLING AND STORAGE OCCUPATIONS N.E.C. (D13)
<b>ELEMENTARY ADMINISTRATION AND SERVICE OCCUPATIONS</b>	
<b>Elementary Administration Occupations</b>	
9211	POSTAL WORKERS, MAIL SORTERS, MESSENGERS, COURIERS (A15/A16/D13/J11/W11)
9219	ELEMENTARY OFFICE OCCUPATIONS N.E.C.
9221	HOSPITAL PORTERS
9222	HOTEL PORTERS
9223	KITCHEN AND CATERING ASSISTANTS
9224	WAITERS, WAITRESSES (F12)
9225	BAR STAFF (F13)
9226	LEISURE AND THEME PARK ATTENDANTS
9229	ELEMENTARY PERSONAL SERVICE OCCUPATIONS N.E.C.
<b>Elementary Cleaning Occupations</b>	
9231	WINDOW CLEANERS (C33)
9232	ROAD SWEEPERS
9233	CLEANERS, DOMESTICS (C31/C33/F13)
9234	LAUNDERERS, DRY CLEANERS, PRESSERS (C31)
9235	REFUSE AND SALVAGE OCCUPATIONS

<b>STANDARD OCCUPATIONAL CLASSIFICATION (SOC) CODES 2010</b>	
9239	ELEMENTARY CLEANING OCCUPATIONS N.E.C.
<b>Elementary Security Occupations</b>	
9241	SECURITY GUARDS AND RELATED OCCUPATIONS (T11)
9242	TRAFFIC WARDENS
9243	SCHOOL CROSSING PATROL ATTENDANTS
9244	SCHOOL MIDDAY ASSISTANTS
9245	CAR PARK ATTENDANTS
9249	ELEMENTARY SECURITY OCCUPATIONS N.E.C. (T11)
<b>Elementary Sales Occupations</b>	
9251	SHELF FILLERS
9259	ELEMENTARY SALES OCCUPATIONS N.E.C.

## ANNEX 8: Personal Training Plan (PTP)



**Apprenticeships**

**TAMS RECORD ONLY ACCEPTED. FORM TO BE USED FOR REFERENCE ONLY**

# PERSONAL TRAINING PLAN

*APPRENTICESHIPSNI 2021*

## 1. Trainee Details

Trainee ID:

Unique Learner Number:

National Insurance Number:

Name:

Email Address:

Address:

Postal Code:

Mobile Phone:

Landline Phone:

Next of Kin:

Disability            Yes     No

## 2. Framework Details

Framework:

Pathway:

Target Duration:

Start Date:

Final Claim Due By:

Delivery Model:

Directed Training Hours:

Workplace Hours:

Total Combined Hours (Weekly):

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## 3. Trainee Background

### Qualifications

Qualification Type	Subject	Awarding Body	Result	Award Date

### Other Qualifications / Achievements

Achievement	Subject	Awarding Body	Result	Award Date

### Previous Work Experience / Employment

Employer	From	To	Duties

## 4. Diagnostic Assessments

### Essential Skills

Literacy Competency Level/Development Considerations:

Assessed Level	Targeted Level

Numeracy Competency Level/Development Considerations:

Assessed Level	Targeted Level

ICT Competency Level / Development Considerations:

Assessed Level	Targeted Level

### Occupational Skills

Skill	Development Level

**Learning Needs / Identified barriers** (to employment from the baseline interview)

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**Comment** (Summative evaluation of personal profile including preferred learning style/s and additional learning needs)

--

## 5. Training Plan

### Occupational Qualifications

#### Level 2 Qualification Targets

Curriculum Area	Qualification Reference No	Target Qualification Name	Awarding Org
Knowledge			
Competence			
Combined			

#### All Age Level 3 (Level 2 en route) Qualification Targets

Curriculum Area	Qualification Reference No	Target Qualification Name	Awarding Org
Knowledge			
Competence			
Combined			

### Essential Skills

Skill	Qualification Code	Qualification	Target Level	Tutor/ Location	Date of Registration	Target Date	Exempt
Literacy							
Numeracy							

ICT							
-----	--	--	--	--	--	--	--

### Milestones

Milestone	Targets	Delivery Method	Tutor	Location	Target Date
1 (20%-25%)	Review 1				
2 (40%-45%)	Review 2				
3 (60%-65%)	Review 3				
4 (80%-85%)	Review 4				
5 (20%-25%)	Review 1				
6 (40%-45%)	Review 2				
7 (60%-65%)	Review 3				
8 (80%-85%)	Review 4				

### Optional Training Enhancements

#### Enhancement

Title

Description

--

**Other Support Arrangements** (Including Disability Support and Additional Learning Support)

Descriptor	Responsible	Desired Outcome

**Statement of Apprentice's Training Objectives**

<b>Under the ApprenticeshipsNI Arrangements I,</b>
--

**6. Employer Details**

Employer: \_\_\_\_\_

Start Date:

Contact: \_\_\_\_\_

Email Address: \_\_\_\_\_

Contact Number:

**PTP Review**



Participant's progress towards the targets and objectives of this ApprenticeshipsNI PTP will be reviewed every six to eight weeks, any issues must be discussed and recorded in the Review and Monitoring form, including lack of progress or attendance and will include the Employer's input. If applicable: Disability/Specialist Support - Feedback from participant included. Period of 6-8 weeks.

**7. Declaration**

The Apprentice, the Employer and the Training Contractor or their representative including sub-contractors must indicate below to acknowledgment the agreement in line with the contents of this PTP.

**Trainee:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Employer:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Training Contractor Representative:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## ANNEX 9: Review and Monitoring of Personal Training Plan (PTP)

**TAMS ONLY Accepted. For Reference Use Only**



**Apprenticeships**

### Participant Review AppsNI

**Apprentice Name:**

**Trainee ID:**

**Framework:**

**Employer Name:**

**Date of Review:**

(A new form must be used for each review)

<b>*A response is required against all areas below, including where no concerns are identified</b>	<b>Review Comments</b>
<b>Directed training activity in this review period</b>	
<b>Engagement with Directed Training</b>	
<b>Development of Occupational Skills</b>	
<b>Occupational Qualifications – Progress Against Targets</b>	
<b>Targets for next review</b>	

<b>Other issues/Relevant Updates</b>		
<b>Action Required</b>	The apprentice has confirmed that their normal contracted hours, including time spent at directed training, total 21 hours per week.  <input type="checkbox"/>	The apprentice has confirmed that they are paid for time spent at directed training, and that they receive at least the NMW rate appropriate to their age (or apprentice rate where applicable)  <input type="checkbox"/>
Sections below to be completed only where applicable to the apprentice		
<b>If applicable: Disability/Specialist Support - Feedback from apprentice</b>		

**Contracted Hours and National Minimum Wage (NMW):**

The Apprentice has confirmed that their normal contracted hours, including time spent at directed training, total 21 hours or more per week:

**YES/NO**

The Apprentice has confirmed that they are paid for time spent at directed training, including Essential Skills classes as appropriate and that they receive at least the NMW rate appropriate to their age (or Apprentice rate where applicable):

**YES/NO**

**If 'NO' to either statement above please record further details:**

---

**Apprentice, Employer and Training Contractor MUST sign below:**

**Apprentice and Date:**

---

**Employer and Date:**

---

**Training Contractor Representative and Date:**

---

**Review carried out remotely\*:** Yes/No

\* In the case of remote review an electronic record of agreement is available verifying that all parties were included and agreed the review content.

## ANNEX 10: Learning Pathway Amendment



### Apprenticeships

Learning Pathway Amendments			
Date	Issue(s)	Action / Intervention	Outcome(s)

**Progression / Career Development**

Guidance and advice on progression routes and careers advice has been given:

Yes

No

**List skills and experience gained from work-based learning to date:**

**Qualifications achieved from PTP (final review):**

**What are the next steps for you?**

**Apprentice and Training Contractor Representative MUST sign below:**

**Apprentice and Date:**

---

**Training Contractor Representative and Date:**

---

## ANNEX 11: Induction



**Apprenticeships**

### INDUCTION CHECKLIST

**Please list indicators that are appropriate to:**

(INSERT ORGANISATION NAME AND OCCUPATIONAL AREA)

---

#### PLEASE TICK

I have been advised that my Training Contractor is in full compliance with Section 75 of the Northern Ireland Act 1998 and 2004 SENDO legislation.

I have received a general induction to the Contractor's premises, including emergency exits, fire drill, assembly points, and domestic facilities.

I have received a formal induction about my training, including terms and conditions.

I have attended formal induction and assessment for the outcomes detailed in my Personal Training Plan.

I have attended formal induction and assessment for Essential / Key Skills.

I have read and agree with the statements regarding what is expected of me.

I have been informed about issues relating to Health & Safety in relation to "off-the-job-training".

I have received information on learner support services.

I have received information on the Contractor's complaints, whistleblowing and formal appeals procedures.

I am aware of my key contact person.

I have received information on the Department for the Economy's privacy notice.

I have received information on progression routes and career opportunities.

**Apprentice Signature and Date**

---

**Training Contractor Representative and Date:**

---

## ANNEX 12: Privacy Notice



**Data Controller Name:** Department for the Economy

**Address:** ApprenticeshipsNI, Apprenticeships Delivery & Performance Branch, 5<sup>th</sup> Floor, Adelaide House, 39-49 Adelaide Street, Belfast, BT2 8FD.

**Telephone:** 0300 200 7876

**Email:** [apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk)

### Why are you processing my personal information?

**Your personal data is being collected for the purposes of the ApprenticeshipsNI programme.** The collection of this data is necessary to fulfil the public function of the Department in relation to the ApprenticeshipsNI programme and in line with Article 6 of the General Data Protection Regulation (UKGDPR). This programme operates under the Employment and Training Act (Northern Ireland) 1950.

Your personal information is being collected for the purposes of managing, monitoring and reporting on the ApprenticeshipsNI programme. The Department and its contracted training organisations must process the personal data of participating apprentices in order to:

- determine your eligibility for the programme
- register you on our ICT system and enrol you on your chosen apprenticeship framework
- monitor your progress
- monitor the performance of training contractors and pay them for their work
- pay your employer an incentive when you complete your framework
- inform future programme changes
- contact you about issues directly related to your participation in training (e.g. changes that you need to be aware of, or a follow up survey)
- prevent fraud
- produce relevant statistics and research



As you progress through the programme, details of your employment and academic achievements will be added to your record, as well as any other changes of circumstances you inform your training contractor and/or the Department about.

## **What categories of personal data are you processing?**

To help the Department meet all the requirements for the ApprenticeshipsNI programme and to ensure that it meets your needs, your training contractor must gather personal information from you on our behalf, which is categorised as personal data under GDPR, and includes:

- your contact details
- your signature
- your national insurance number
- your date of birth
- your job title and a description of your job role
- your gender
- the number of dependents you have
- information about your previous qualifications
- information about your initial assessment and induction on the programme
- information about your progress and achievements on the programme

We may also ask for sensitive personal data, which is categorised as special category data under GDPR. This is required for equality monitoring purposes under Section 75 of the Northern Ireland Act 1998. This includes information on:

- your racial or ethnic origin
- whether you have a disability (and additional support needs if applicable)
- whether you are a migrant
- your marital status
- your sexual orientation
- your current political opinion
- your religious affiliation
- genetic data

If you need to take a break from ApprenticeshipsNI due to pregnancy, paternity leave, custodial sentence or care order, you may be required to provide further information about the reason for your absence in order to check your eligibility for an Enforced Interruption period and to agree a proposed return date.

If your apprenticeship involves Regulated Activity, i.e. close and unsupervised contact with vulnerable groups including children, additional data may be collected by your training contractor to allow them to carry out appropriate disclosure and barring

checks as defined by the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007 and (as amended by the Protection of Freedoms Act 2012).

## **Where do you get my personal data from?**

You will provide your personal data to a training contractor whom has been contracted by the Department to deliver directed training for the ApprenticeshipsNI programme.

An enrolment form, an equality monitoring form, a delivery agreement and a personal training plan will be completed. The training contractor will input your personal data from these forms on to a secure IT system which is accessed by Departmental staff.

Additional information will be collected by your training contractor throughout your participation on the programme, for example at regular reviews of your personal training plan, your progress against the qualifications you are studying, or when there are changes to your circumstances.

## **Do you share my personal data with anyone else?**

In order to facilitate and manage the ApprenticeshipsNI programme, several branches within the Department will require access to your data, including those who have roles in the management, administration, reporting, compliance monitoring, payment processing, and statistical analysis of the programme.

If you have a disability or medical condition and wish to avail of disability support services to support you in the completion of your apprenticeship, your data will be shared with a Disability Support Contractor and with your tutor(s).

Your data may also be shared with the Northern Ireland Statistics and Research Agency for the purposes of statistics and research.

Your data may also be shared with Awarding Organisations or UK NARIC in the event of queries about your qualifications and certificates.

Your data may also be shared with the Department for Communities if required, for example, for social benefits purposes/for access to previous training/programme information.

If your personal data is shared, this will be done in accordance with data protection law.

## **Do you transfer my personal data to other countries?**

Your data will be located on cloud hosted services with servers within the EU and UK and there is a possibility that data may be stored on servers in Europe. Any processing of your personal data beyond storage will only occur within the UK.

## **How long do you keep my personal data?**

The Department will ensure that personal data is kept no longer than necessary, that it manages records effectively from when they are created, including how they are

stored and used, through to their destruction or archiving. Client records will be destroyed 7 years from the date of last payment made by the Department.

### **(If you use automated decision making or profiling) - How do you use my personal data to make decisions about me?**

Apprenticeships Delivery & Performance Branch does not use automated decision making or profiling in the management of its training programmes.

### **What rights do I have?**

You have the following rights in relation to how the Department uses your personal data:

- You have the right to obtain confirmation that your data is being processed, and [access to your personal data](#)
- You are entitled to have personal data [rectified if it is inaccurate or incomplete](#)
- You have the right to [‘block’ or suppress processing](#) of personal data, in specific circumstances
- **You have the right to [object to the processing](#)**, in specific circumstances  
**You have rights in relation to [automated decision making and profiling](#)**

### **How do I complain if I am not happy?**

**If you are unhappy with how any aspect of this privacy notice, or how your personal information is being processed, please contact the Department’s Data Protection Officer at:**

**Data Protection Officer:** Bernard McCaughan

**Email:** [DPO@economy-ni.gov.uk](mailto:DPO@economy-ni.gov.uk)

**If you are still not happy, you have the right to lodge a complaint with the Information Commissioner’s Office (ICO):**

**Information Commissioner’s Office**

Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF

Tel: 0303 123 1113

Email: [casework@ico.org.uk](mailto:casework@ico.org.uk)

[Contact the Information Commissioner's Office](#)

**The Department for the Economy’s Corporate Privacy Notice has been published at: [Department for the Economy’s Corporate Privacy Notice](#)**

## **ANNEX 13: CCEA GCSE Grading Leaflet**

[Your Guide to GCSE Grading Changes](#)

## ANNEX 14: Payment Processes for ApprenticeshipsNI 2021

- 1.1. Funding for apprenticeship delivery under the Department's (the Client) ApprenticeshipsNI 2021 Programme (Apps21) is set out in "**Schedule 2 Payments Schedule to the Commercial Conditions for Services Contracts**" for Apps21 (Schedule 2).
- 1.2. For clarity purposes the General Principles Governing Claims section of Schedule 2 is reproduced below with the "**Rates of Payment**" tables detailed in Annex 1 to Schedule 2, repeated in **Annex 15**. Should any discrepancy develop between the details in these Operational Requirements and Schedule 2, the requirements of Schedule 2 will take precedence.
- 1.3 This Annex also describes the payment process for making claims under each of the claim categories of the 'Rates of Payment' tables in Annex 15.

### 2. General Principles Governing Claims

- 2.1 All claims for payment under this contract will be made through the Trainee and Apprenticeship Management System (TAMS).
- 2.2 Contractors and FECs must only claim payment in accordance with the process described in Annex 14 "Payment Processes for ApprenticeshipsNI" in the Operational Requirements.
- 2.3 The Client will accept one single claim via the TAMS route from each contractor for each period. The Contractor must use one site for all their claims.  
Claim periods will run on a 4 weekly schedule as detailed in **Annex 17 "Claims Calendar"** in the Operational Requirements. All claims must be received by the Client within 10 working days from the end of each claim period.

- 2.4. Contractors and FECs must ensure staff are trained and fully compliant with claims checking procedures. Contractors and FECs must review all claims for validity, accuracy and completeness and only submit claims, and any associated supporting information, to the Client when satisfied that all items have been properly claimed and all required evidence is held.
- 2.5. Contractors and FECs must retain specific and appropriate evidence to support all claims (see **Annex 16 – Evidence Requirements** in the Operational Requirements for more information). Contractors and FECs must conduct sufficient checks to ensure all funding is claimed at the appropriate time. The Client will not be responsible for Contractors' and FECs failure to claim funding within the time period specified in the Operational Requirements (Annex 14).
- 2.6. The Client reserves the right to withhold or delay payment for individual claim items not submitted in accordance with the Contract. The Client shall, as soon as is reasonably practicable, notify the Contractor and FECs accordingly of such a withholding or delay of payment in writing. Late submission of claims, or inaccurate claims, may result in payment being delayed and may be deemed to be unsatisfactory performance.
- 2.7. The Client will recover any funding paid which is subsequently deemed to be incorrectly claimed. The Client will give Contractors and FECs 10 working days' notice of any recoveries.
- 2.8. The Client will make payments to Contractors and FECs within 30 working days of receipt of a correct claim, completed and submitted according to the requirements of this schedule.
- 2.9. Payment will be made via the Bankers' Automated Clearing System (BACS). BACS payments will be made directly to the Contractors and FECs bank account. Contractors and FECs will also receive an electronic BACS remittance on the day the payment is processed, or a remittance will be posted to contractors and FECs on the following day.
- 2.10. Contractors and FECs must reconcile payments received against their own records and notify the Client of any suspected overpayment.

- 2.11 To ensure that claim payments are properly processed, the Contractor and FECs must ensure that the Department has the up-to-date information required, including bank and authorised signatory details, to facilitate claim payments.
- 2.12 If the Contractor and FECs is not claiming any funding for a given claim period, they must submit 'nil claim' for the period via TAMS.
- 2.13 At the discretion of the Client, the Employer Incentive payment referred to in the "Rates of Payments" tables in Annex 1, may be paid directly to the Employer, rather than via the Contractor. The Client will notify the Contractor of any decision to pay the Employer Incentive directly and adjust associated payments as appropriate.

### 3. Payment Process

- 3.1 All claims should be submitted via TAMS, with required evidence, using the appropriate processes. Where it is not possible to claim for eligible items via TAMS, due to technical difficulties or other related issues, contractors and FECs can claim "off-line". Contractors and FECs must discuss such claims with the Department ahead of application. Contractors and FECs must use Form CIP1 (Annex 18).
- 3.2 Contractors and FECs must ensure that the Department has up to date information on: -
  - details of the bank account to which payments are to be made; and
  - the names and specimen signatures of people authorised to sign ApprenticeshipsNI claim forms within the Contractor's and FECs organisation.
- 3.3 This information must be completed on **Form ApprenticeshipsNI 1 - Bank Details and Authorised Signatories**, which must be completed and received by the department before submission of the first claim.

- 3.4 The Department will only accept ApprenticeshipsNI administration forms in respect of claims for funding which come from the email account of an authorised signatory. Any subsequent changes in these details, such as a new signatory or changes in bank details, must be notified to the Department immediately via a new Bank Details and Authorised Signatories Form. Failure to do so will result in payment being withheld. If an authorised signatory ceases their role the Department must be informed immediately.
- 3.5 All correspondence relating to claims should be sent to the Department electronically.

#### **4 TMS Payment Types**

##### **4.1 Start Payment**

PTP information must be completed in TAMS within 16 weeks of the participant's Start Date.

Electronic PTPs submitted to TAMS outside of the 16-week deadline will be deemed valid for Programme delivery purposes and will be counted for statistical purposes but will not be eligible for any payment.

##### **4.2 Retention Payment – Level 3 (Level 2 En Route)**

A request for approval to claim a retention payment, as set out in Annex 15, must be submitted via TAMS once a participant has completed and achieved all components of the Level 2 qualification en route to the Level 3 apprenticeship prior to claiming Milestone 5 and is continuing on the programme.

##### **4.3 Output Related Funding (ORF):**

###### Qualifications

Contractors and FECs may claim ORF Payments based on achievement of qualifications up to the appropriate amount as outlined in Annex 15.

Contractors and FECs must enter an approval request in TAMS, and submit with any required evidence, for each ORF payment they wish to claim.

###### Essential Skills ORF



For new participants with an identified Essential Skills need Contractors and FECs must ensure that all data associated with the assessed and targeted levels are entered into the PTP within TAMS within 16 weeks of programme commencement.

All ORF requests received in the Department for specific Essential Skills will be made “valid” (i.e. non-paying and counting for statistical purposes only), unless the Assessed, Targeted and Achieved level, relevant to the Essential Skill have also been recorded under the “Courses” tab in TAMS.

Contractors and FECs must note that where an Essential Skills needs assessment is required for a participant and where the Contractor and FECs has failed to complete the assessment and subsequent recording of assessed and targeted levels in TAMS under the “Courses” tab within this timeframe, the payment request will also be made “valid” (non-paying) when claimed.

The Department’s staff will check each Essential Skills outcome / achievement, and payment will only be approved for achievements on production of the necessary certified evidence of achievement and subject to the ‘Courses’ tab in TMS being appropriately completed within the required 12 week timescale:

Essential Skills ORF will be limited to one payment per programme participation in respect of each Essential Skills of Communication, Application of Number and ICT.

#### Milestone Payments

For all Milestone Claims, a request for approval to claim milestone payments as set out in the appropriate funding table attached in Annex 15 must be submitted to the Department via TAMS. PTPs must be approved before milestones are claimed.

Where the participant requires the requisite practical skills to support their direct entry to the Level 3 framework Contractors and FECs can make an application through the ApprenticeshipsNI mailbox, ([apprenticeships@economy-ni.gov.uk](mailto:apprenticeships@economy-ni.gov.uk)), for a discretionary milestone payment. Contractors and FECs must provide a rationale for the up skilling required and an explanation as to how it will be delivered. This must be received in the ApprenticeshipsNI mailbox within 16 weeks of the participant's Start Date and included in the PTP.

The discretionary milestone payment will be paid on achievement of the four Level 3 milestones as detailed in the Level 3 (Progression Route) funding table in Annex 15.

For the ApprenticeshipsNI Full Framework (FFW) Payment at Level 2 or Level 3, Contractors and FECs should submit the FFW application to ADPB via TAMS. When the FFW request has been approved, the contractor should submit a payment request for the FFW payment via TAMS in the next claim.

#### 4.4 Claiming Corrective or Adjustment Payments

If payment has not generated or has generated incorrectly on the TAMS system due to a system error, a Contractor and FECs error or a Departmental error, Contractors and FECs may submit a request for a corrective adjustment using Form CIP1 (Annex 18). This form must be sent to the Department, Payment Processing Team by email for consideration. The Payment Processing team will decide if there is sufficient evidence to support the adjustment and advise the Contractor of the decision by email. If the adjustment is to be made, the Payment Processing team will advise Contractors FECs what further action they need to carry out. See Annex 18 for CIP1 form.

## ANNEX 15: Rates of Payments Apprenticeships 2021

LEVEL 2 APPRENTICESHIP FUNDING CATEGORIES							
Apprentices (Young Person and <b>Adult starting on or after 1 September 2023</b> )							
Funding	1	2	3	4	5	6	Disability Supplement (Note 5)
	£	£	£	£	£	£	£
<b>Start Payment (Note 1)</b>	368	368	368	368	368	368	681
<b>Milestone Payments (Note 2)</b>							
<i>Milestone One</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Two</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Three</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Four</i> Achievement of 80% - 85% Apprenticeship Framework Units	424	491	547	792	859	915	245
<b>Output Related Funding (Note 3)</b>							
Achievement of Essential Skills	369	369	369	369	369	369	0
Achievement of Level 2 competence qualification	368	424	490	613	668	735	245
Achievement of full Level 2 Apprenticeship Framework	368	424	491	915	982	1038	0
<b>Overall Funding Available to Contractor</b>	<b>3,169</b>	<b>3,549</b>	<b>3,906</b>	<b>5,433</b>	<b>5,823</b>	<b>6,170</b>	<b>1,906</b>
<b>Employer Incentive (Note 4)</b>	558	558	558	837	837	837	0
<b>Overall Available Funding</b>	<b>3,727</b>	<b>4,107</b>	<b>4,464</b>	<b>6,270</b>	<b>6,660</b>	<b>7,007</b>	<b>1,906</b>

1. A start payment will be paid on approval of the PTP by the Department which must be claimed within **12 weeks** of the start date.
2. Milestone payments will be paid on completion of milestones/units of the agreed framework. To calculate the percentage of achievement, the completion of whole units or parts of units within the framework should be considered.
3. Output Related Funding will be payable on achievement of:
  - Essential Skills;  
**NB** Essential Skills payments will be made on achievement of Essential Skills at appropriate level within the level 2 apprenticeship framework in question. ORF is limited to one payment of £123 per participant in respect of **each** Essential Skill of Communication, Application of Number and ICT as required by the apprenticeship framework being undertaken (note, the £369 in the table for “Achievement of Essential Skills” is the maximum funding available if the participant achieves Essential Skills in Communication, Application of Number and ICT) .
  - the competence based level 2 qualification; and
  - full apprenticeship framework, i.e. including the knowledge based qualification when required.
4. On completion of the full apprenticeship framework, unless the Department has opted to make the employer incentive payment directly to the employer, the full framework funding will include an employer incentive which **must be paid to the employer within four weeks of its receipt**. The level of funding is determined by the apprenticeship framework funding band.
5. A supplement may be payable in respect of people with a disability to help a Contractor provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training. As stated in section 7.9.3 of the Operational Requirements, Contractors must submit requests for approval of funding for participants with a disability/special need via TAMS. ADPB staff will consider these requests to determine if the evidence is available to support the request.

<b>LEVEL 3 (PROGRESSION ROUTE) APPRENTICESHIP FUNDING CATEGORIES</b> <b>Apprentices (Young Person and <span style="color: red;">Adult Starting on or after 1 September 2023</span> )</b>							
<b>Funding</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>Disability Supplement (Note 5)</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
<b>Start Payment (Note 1)</b>	245	245	245	245	245	245	681
<b>Milestone Payments (Note 2)</b>							
<i>Milestone One</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Two</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Three</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Four</i> Achievement of 80% - 85% Apprenticeship Framework Units	424	491	547	792	859	915	245
<b>Output Related Funding (Note 3)</b>							
Achievement of Essential Skills	369	369	369	369	369	369	0
Achievement of Level 3 competence qualification	858	914	981	1,104	1,160	1,226	245
Achievement of full Level 3 Apprenticeship Framework	1,105	1,283	1,473	2,086	2,266	2,455	0
<b>Overall Funding Available to Contractor</b>	<b>4,273</b>	<b>4,775</b>	<b>5,256</b>	<b>6,972</b>	<b>7,476</b>	<b>7,955</b>	<b>1,906</b>
<b>Employer Incentive (Note 4)</b>	558	558	558	837	837	837	0
<b>Overall Available Funding</b>	<b>4,831</b>	<b>5,333</b>	<b>5,814</b>	<b>7,809</b>	<b>8,313</b>	<b>8,792</b>	<b>1,906</b>

1. A start payment will be paid on approval of the PTP by the Department which must be claimed within **12 weeks** of the start date.
2. Milestone payments will be paid on completion of milestones/units of the agreed framework. To calculate the percentage of achievement, the completion of whole units or parts of units within the framework should be considered.
3. Output Related Funding will be payable on achievement of:
  - Essential Skills;
  - **NB** Essential Skills payments will be made on achievement of Essential Skills at appropriate level within the level 3 apprenticeship framework in question. ORF is limited to one payment of £123 per trainee in respect of **each** Essential Skill of Communication, Application of Number and ICT as required by the apprenticeship framework being undertaken (note, the £369 in the table for “Achievement of Essential Skills” is the maximum funding available if the participant achieves Essential Skills in Communication, Application of Number and ICT).
  - achievement of the competence based level 3 qualification; and
  - achievement of full apprenticeship framework, including the knowledge based qualification when required.
4. On completion of the full apprenticeship framework, unless the Department has opted to make the employer incentive payment directly to the employer, the full framework funding will include an employer incentive which **must be paid to the employer within four weeks of its receipt**. The level of funding is determined by the apprenticeship framework funding band.
5. A supplement may be payable in respect of people with a disability to help a Contractor provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training. As stated in section 7.9.3 of the Operational Requirements, Contractors must submit requests for approval of funding for participants with a disability/special need via TAMS. ADPB staff will consider these requests to determine if the evidence is available to support the request.

<b>LEVEL 3 (LEVEL 2 EN ROUTE) APPRENTICESHIP FUNDING CATEGORIES</b>							
<b>Apprentices (Young Person <span style="color: red;">Adult Starting on or after 1 September 2023</span>)</b>							
<b>Funding</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>Disability Supplement (Note 6)</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
<b>Start Payment (Note 1)</b>	368	368	368	368	368	368	681
<b>Milestone Payments (Note 2)</b>							
<i>Milestone One</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Two</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Three</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Four</i> Achievement of 80% - 85% Apprenticeship Framework Units	424	491	547	792	859	915	245
<b>Output Related Funding (Note 3)</b>							
Achievement of Level 2 competence qualification	736	792	859	1,105	1,160	1,227	245
<b>Retention / Start Payment (Note 4)</b>	245	245	245	245	245	245	681
<b>Milestone Payments (Note 2)</b>							
<i>Milestone Five</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Six</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Seven</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	424	491	547	792	859	915	245
<i>Milestone Eight</i> Achievement of 80% -85% Apprenticeship Framework Units	424	491	547	792	859	915	245
<b>Output Related Funding (Note 3)</b>							
Achievement of Essential Skills	369	369	369	369	369	369	0
Achievement of Level 3 competence qualification	858	914	981	1,104	1,159	1,226	245
Achievement of full Level 3 Apprenticeship Framework	1,105	1,283	1,473	2,086	2,265	2,455	0

<b>Overall Funding Available to Contractor</b>	<b>7,073</b>	<b>7,899</b>	<b>8,671</b>	<b>11,613</b>	<b>12,438</b>	<b>13,210</b>	<b>3,812</b>
<b>Employer Incentive (Note 5)</b>	1,116	1,116	1,116	1,674	1,674	1,674	0
<b>Overall Available Funding</b>	<b>8,189</b>	<b>9,015</b>	<b>9,787</b>	<b>13,287</b>	<b>14,112</b>	<b>14,884</b>	<b>3,812</b>

1. A start payment will be paid on approval of the PTP by the Department which must be claimed within **12 weeks** of the start date.
2. Milestone payments will be paid on completion of milestones/units of the agreed framework. To calculate the percentage of achievement, the completion of whole units or parts of units within the framework should be considered.
3. Output Related Funding will be payable on achievement of:
  - Essential Skills;
  - **NB** Essential Skills payments will be made on achievement of Essential Skills at appropriate level within the level 3 apprenticeship framework in question. ORF is limited to one payment of £123 per trainee in respect of **each** Essential Skill of Communication, Application of Number and ICT as required by the apprenticeship framework being undertaken (note, the £369 in the table for “Achievement of Essential Skills” is the maximum funding available if the participant achieves Essential Skills in Communication, Application of Number and ICT).
  - achievement of the competence based level 2 and level 3 qualification; and
  - achievement of full apprenticeship framework, including the knowledge based qualification when required.
4. Retention/start payment - payment will be made to a Contractor when a participant progresses to a level 3 from a level 2 apprenticeship under *ApprenticeshipsNI*. The retention payment will be made on the approval of the competence based level 2 qualification, subject to the individual continuing on the programme.
5. On completion of the full apprenticeship framework, unless the Department has opted to make the employer incentive payment directly to the employer, the full framework funding will include an employer incentive which **must be paid to the employer within four weeks of its receipt**. The level of funding is determined by the apprenticeship framework funding band.
6. A supplement may be payable in respect of people with a disability to help a Contractor provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training. As stated in section 7.9.3 of the Operational Requirements, Contractors must submit requests for approval of funding for participants with a disability/special need via TAMS. ADPB staff will consider these requests to determine if the evidence is available to support the request.



**LEVEL 2 APPRENTICESHIP FUNDING CATEGORIES**  
**Apprentices ADULT joined originally prior to 1 September 2023 or re-joining with original start date prior to 1 September 2023**

Funding	1	2	3	4	5	6	Disability Supplement (Note 5)
	£	£	£	£	£	£	£
<b>Start Payment (Note 1)</b>	184	184	184	184	184	184	340
<b>Milestone Payments (Note 2)</b>							
<i>Milestone One</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Two</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Three</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Four</i> Achievement of 80% - 85% Apprenticeship Framework Units	212	245	273	396	430	457	123
<b>Output Related Funding (Note 3)</b>							
Achievement of Essential Skills	183	183	183	183	183	183	0
Achievement of Level 2 competence qualification	185	213	246	308	336	369	123
Achievement of full Level 2 Apprenticeship Framework	184	212	245	457	491	519	0
<b>Overall Funding Available to Contractor</b>	<b>1,584</b>	<b>1,772</b>	<b>1,950</b>	<b>2,716</b>	<b>2,914</b>	<b>3,083</b>	<b>955</b>
<b>Employer Incentive (Note 4)</b>	279	279	279	418	418	418	-
<b>Overall Available Funding</b>	<b>1,863</b>	<b>2,051</b>	<b>2,229</b>	<b>3,134</b>	<b>3,332</b>	<b>3,501</b>	<b>955</b>

1. A start payment will be paid on approval of the PTP by the Department which must be claimed within **12 weeks** of the start date.
2. Milestone payments will be paid on completion of milestones/units of the agreed framework. To calculate the percentage of achievement, the completion of whole units or parts of units within the framework should be considered.
3. Output Related Funding will be payable on achievement of:
  - Essential Skills;  
**NB** Essential Skills payments will be made on achievement of Essential Skills at appropriate level within the level 2 apprenticeship framework in question. ORF is limited to one payment of £61 per participant in respect of **each** Essential Skill of Communication, Application of Number and ICT as required by the apprenticeship framework being undertaken (note, the £183 in the table for “Achievement of Essential Skills” is the maximum funding available if the participant achieves Essential Skills in Communication, Application of Number and ICT).
  - the competence based level 2 qualification; and
  - full apprenticeship framework, i.e. including the knowledge based qualification when required.
4. On completion of the full apprenticeship framework, unless the Department has opted to make the employer incentive payment directly to the employer, the full framework funding will include an employer incentive **which must be paid to the employer within four weeks of its receipt**. The level of funding is determined by the apprenticeship framework funding band.
5. A supplement may be payable in respect of people with a disability to help a Contractor provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training. As stated in section 7.9.3 of the Operational Requirements, Contractors must submit requests for approval of funding for participants with a disability/special need via TAMS. ADPB staff will consider these requests to determine if the evidence is available to support the request.

**LEVEL 3 (PROGRESSION ROUTE) APPRENTICESHIP FUNDING CATEGORIES**  
**Apprentices (ADULT) ADULT joined originally prior to 1 September 2023 or re-joining**  
**with original start date prior to 1 September 2023**

Funding	1	2	3	4	5	6	Disability Supplement (Note 5)
	£	£	£	£	£	£	£
<b>Start Payment (Note 1)</b>	123	123	123	123	123	123	340
<b>Milestone Payments (Note 2)</b>							
<i>Milestone One</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Two</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Three</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Four</i> Achievement of 80% - 85% Apprenticeship Framework Units	212	245	273	396	430	457	123
<b>Output Related Funding (Note 3)</b>							
Achievement of Essential Skills	183	183	183	183	183	183	0
Achievement of Level 3 competence qualification	431	458	492	553	581	615	123
Achievement of full Level 3 Apprenticeship Framework	552	642	736	1,043	1,132	1,227	0
<b>Overall Funding Available to Contractor</b>	<b>2,137</b>	<b>2,386</b>	<b>2,626</b>	<b>3,486</b>	<b>3,739</b>	<b>3,976</b>	<b>955</b>
<b>Employer Incentive (Note 4)</b>	279	279	279	418	418	418	-
<b>Overall Available Funding</b>	<b>2,416</b>	<b>2,665</b>	<b>2,905</b>	<b>3,904</b>	<b>4,157</b>	<b>4,394</b>	<b>955</b>

1. A start payment will be paid on approval of the PTP by the Department which must be claimed within **12 weeks** of the start date.
2. Milestone payments will be paid on completion of milestones/units of the agreed framework. To calculate the percentage of achievement, the completion of whole units or parts of units within the framework should be considered.
3. Output Related Funding will be payable on achievement of:
  - Essential Skills;
  - **NB** Essential Skills payments will be made on achievement of Essential Skills at appropriate level within the level 3 apprenticeship framework in question. ORF is limited to one payment of £61 per trainee in respect of **each** Essential Skill of Communication, Application of Number and ICT as required by the apprenticeship framework being undertaken (note, the £183 in the table for “Achievement of Essential Skills” is the maximum funding available if the participant achieves Essential Skills in Communication, Application of Number and ICT).
  - achievement of the competence based level 3 qualification; and
  - achievement of full apprenticeship framework, including the knowledge based qualification when required.
4. On completion of the full apprenticeship framework, unless the Department has opted to make the employer incentive payment directly to the employer, the full framework funding will include an employer incentive **which must be paid to the employer within four weeks of its receipt**. The level of funding is determined by the apprenticeship framework funding band.
5. A supplement may be payable in respect of people with a disability to help a Contractor provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training. As stated in section 7.9.3 of the Operational Requirements, Contractors must submit requests for approval of funding for participants with a disability/special need via TAMS. ADPB staff will consider these requests to determine if the evidence is available to support the request.

**LEVEL 3 (LEVEL 2 EN ROUTE) APPRENTICESHIP FUNDING CATEGORIES**  
**Apprentices (ADULT) ADULT joined originally prior to 1 September 2023 or re-joining**  
**with original start date prior to 1 September 2023**

Funding	1	2	3	4	5	6	Disability Supplement (Note 6)
	£	£	£	£	£	£	£
<b>Start Payment (Note 1)</b>	184	184	184	184	184	184	340
<b>Milestone Payments (Note 2)</b>							
<i>Milestone One</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Two</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Three</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Four</i> Achievement of 80% - 85% Apprenticeship Framework Units	212	245	273	396	430	457	123
<b>Output Related Funding (Note 3)</b>							
Achievement of Level 2 competence qualification	368	396	430	552	580	614	123
<b>Retention / Start Payment (Note 4)</b>	123	123	123	123	123	123	340
<b>Milestone Payments (Note 2)</b>							
<i>Milestone Five</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Six</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Seven</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	212	245	273	396	430	457	123
<i>Milestone Eight</i> Achievement of 80% -85% Apprenticeship Framework Units	212	245	273	396	430	457	123
<b>Output Related Funding (Note 3)</b>							
Achievement of Essential Skills	183	183	183	183	183	183	0
Achievement of Level 3 competence	431	458	492	553	581	615	123
Achievement of full Level 3 Apprenticeship Framework	552	642	736	1,043	1,132	1,227	0

<b>Overall Funding Available to Contractor</b>	<b>3,537</b>	<b>3,946</b>	<b>4,332</b>	<b>5,806</b>	<b>6,223</b>	<b>6,602</b>	<b>1,910</b>
<b>Employer Incentive (Note 5)</b>	558	558	558	837	837	837	-
<b>Overall Available Funding</b>	<b>4,095</b>	<b>4,504</b>	<b>4,890</b>	<b>6,643</b>	<b>7,060</b>	<b>7,439</b>	<b>1,910</b>

1. A start payment will be paid on approval of the PTP by the Department which must be claimed within **12 weeks** of the start date.
2. Milestone payments will be paid on completion of milestones/units of the agreed framework. To calculate the percentage of achievement, the completion of whole units or parts of units within the framework should be considered.
3. Output Related Funding will be payable on achievement of:
  - Essential Skills;
  - **NB** Essential Skills will be made on achievement of Essential Skills at appropriate level within the level 3 apprenticeship framework in question. ORF is limited to one payment of £61 per trainee in respect of **each** Essential Skill of Communication, Application of Number and ICT as required by the apprenticeship framework being undertaken (note, the £183 in the table for “Achievement of Essential Skills” is the maximum funding available if the participant achieves Essential Skills in Communication, Application of Number and ICT).
  - achievement of the competence-based level 2 and level 3 qualification; and
  - achievement of full apprenticeship framework, including the knowledge-based qualification when required.
4. Retention/start payment - payment will be made to a Contractor when a participant progresses to a level 3 from a level 2 apprenticeship under *ApprenticeshipsNI*. The retention payment will be made on the approval of the competence based level 2 qualification, subject to the individual continuing on the programme.
5. On completion of the full apprenticeship framework, unless the Department has opted to make the employer incentive payment directly to the employer, the full framework funding will include an employer incentive which **must be paid to the employer within four weeks of its receipt**. The level of funding is determined by the apprenticeship framework funding band.
6. A supplement may be payable in respect of people with a disability to help a Contractor provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training. As stated in section 7.9.3 of the Operational Requirements, Contractors must submit requests for approval of funding for participants with a disability/special need via TAMS. ADPB staff will consider these requests to determine if the evidence is available to support the request.

**Electrotechnical ApprenticeshipsNI - Young Person Category or **Adult** joining on or after 1 September 2023**

<b>Funding – Level 3 only.</b>	<b>7</b>	<b>Disability Supplement (Note 5)</b>
	<b>£</b>	<b>£</b>
<b>Start Payment (Note 1)</b>	245	681
<b>Milestone Payments (Note 2)</b>		
Milestone One Achievement of 20% - 25 % of Apprenticeship Framework Units	915	245
Milestone Two Achievement of 40% - 45 % of Apprenticeship Framework Units	915	245
Milestone Three Achievement of 60% - 65 % of Apprenticeship Framework Units	915	245
Milestone Four Achievement of 80% - 85% Apprenticeship Framework Units	915	245
<b>Milestone Payments (Note 2)</b>		
Milestone Five Achievement of 20% - 25 % of Apprenticeship Framework Units	915	245
Milestone Six Achievement of 40% - 45 % of Apprenticeship Framework Units	915	245
Milestone Seven Achievement of 60% - 65 % of Apprenticeship Framework Units	915	245
Milestone Eight Achievement of 80% -85% Apprenticeship Framework Units	915	245
<b>Output Related Funding (Note 3)</b>		
Achievement of Essential Skills	369	0
Achievement of Level 3 Award in The Fundamental Principles and Requirements of Environmental Technology Systems	1,227	0
Achievement of Level 3 competence qualification	1,227	245
AM2 qualification	1,116	0
Achievement of full Level 3 Apprenticeship Framework	2,455	0
<b>Overall Funding Available to Contractor</b>	<b>13,959</b>	<b>2,886</b>
<b>Employer Incentive (Note 5)</b>	1,674	0

<b>Overall Available Funding</b>	<b>15,633</b>	<b>2,886</b>
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1. A start payment will be paid on approval of the PTP by the Department which must be claimed **within 12 weeks of the start date**.
2. Milestone payments will be paid on completion of milestones/units of the agreed overall framework. To calculate the percentage of achievement, the completion of whole units or parts of units within the framework should be considered. This can be a combination of the competence and knowledge based qualification.
3. Output Related Funding will be payable on achievement of:
  - Essential Skills (**NB** Essential Skills payments will be made on achievement of Essential Skills at appropriate level within the level 3 apprenticeship framework in question. ORF is limited to one payment of £123 per trainee in respect of each Essential Skill of Communication, Application of Number and ICT as required by the apprenticeship framework being undertaken (note, the £369 in the table for “Achievement of Essential Skills” is the maximum funding available if the participant achieves Essential Skills in Communication, Application of Number and ICT);
  - Achievement of the competence based level 3 qualification; and
  - Achievement of full apprenticeship framework, including the knowledge based qualification when required.
4. On completion of the full apprenticeship framework, unless the Department has opted to make the employer incentive payment directly to the employer, the full framework funding will include an employer incentive which **must be paid to the employer within four weeks of its receipt**. The level of funding is determined by the apprenticeship framework funding band.
5. A supplement may be payable in respect of people with a disability to help a Contractor provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training. As stated in section 7.9.3 of the Operational Requirements, Contractors must submit requests for approval of funding for participants with a disability/special need via TAMS. ADPB staff will consider these requests to determine if the evidence is available to support the request.



**LEVEL 3 FIRE & SECURITY FRAMEWORK APPRENTICESHIP FUNDING**

**Apprentices (YOUNG PERSON or Adult joining on or after 1 September 2023)**

Funding	8	Disability Supplement (Note 5)
	£	£
<b>Start Payment (Note 1)</b>	245	681
<b>Milestone Payments (Note 2)</b>		
<i>Milestone One</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	915	245
<i>Milestone Two</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	915	245
<i>Milestone Three</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	915	245
<i>Milestone Four</i> Achievement of 80% - 85% Apprenticeship Framework Units	915	245
<b>Milestone Payments (Note 2)</b>		
<i>Milestone Five</i> Achievement of 20% - 25 % of Apprenticeship Framework Units	915	245
<i>Milestone Six</i> Achievement of 40% - 45 % of Apprenticeship Framework Units	915	245
<i>Milestone Seven</i> Achievement of 60% - 65 % of Apprenticeship Framework Units	915	245
<i>Milestone Eight</i> Achievement of 80% - 85% of Apprenticeship Framework Units	915	245
<b>Output Related Funding (Note 3)</b>		
Achievement of Essential Skills	369	0
Achievement of Level 3 competence	1,227	245
Achievement of Practitioner Test	1,116	0
Achievement of full Level 3 Apprenticeship Framework	2,455	0
<b>Overall Funding Available to Contractor</b>	<b>12,732</b>	<b>2,886</b>
<b>Employer Incentive (Note 4)</b>	1,674	0
<b>Overall Available Funding</b>	<b>14,406</b>	<b>2,886</b>

1. A start payment will be paid on approval of the PTP by the Department which must be claimed within **12 weeks** of the start date.
2. Milestone payments will be paid on completion of milestones/units of the agreed overall framework. To calculate the percentage of achievement, the completion of whole units or parts of units within the framework should be considered. This can be a combination of the competence and knowledge based qualification.

3. Output Related Funding will be payable on achievement of:
  - Essential Skills;
  - **NB** Essential Skills will be made on achievement of Essential Skills at appropriate level within the level 3 apprenticeship framework in question. ORF is limited to one payment of £123 per trainee in respect of **each** Essential Skill of Communication, Application of Number and ICT as required by the apprenticeship framework being undertaken (note, the £369 in the table for “Achievement of Essential Skills” is the maximum funding available if the participant achieves Essential Skills in Communication, Application of Number and ICT);
  - achievement of the Level 3 Award in The Fundamental Principles and Requirements of Environmental Technology Systems;
  - achievement of the competence based level 3 qualification;
  - achievement of the practitioner test; and
  - achievement of full apprenticeship framework, including the knowledge based qualification when required.
4. On completion of the full apprenticeship framework, unless the Department has opted to make the employer incentive payment directly to the employer, the full framework funding will include an employer incentive which **must be paid to the employer within four weeks of its receipt**. The level of funding is determined by the apprenticeship framework funding band.
5. A supplement may be payable in respect of people with a disability to help a Contractor provide significant additional input of resources in terms of training time, equipment or support in order for the young people to benefit fully from the training. As stated in the Operational Requirements, Contractors must submit requests for approval of funding for participants with a disability/special need via TAMS. Careers staff will consider these requests in consultation with the appropriate Careers Adviser. ADPB staff will consider these requests to determine if the evidence is available to support the request.

## ANNEX 16: Apprenticeships NI 2021 Evidence Requirements

1. As set out in Section 9.3 of the Conditions of Contract:

*'The Contractor shall ensure that each invoice contains all appropriate references and a detailed breakdown of the Services supplied and that it is supported by any other documentation reasonably required by the Client to substantiate the invoice.'*

And at Section 40.4;

*'The Contractor shall implement all measurement and monitoring tools and procedures necessary to measure and report on the Contractor's performance of the Services against the applicable service levels at a level of detail sufficient to verify compliance with the service levels.'*

2. While responsibility for the appropriate evidencing of compliance with the Contract remains with Contractors, the Department has produced the following information to assist Contractors in understanding how they might demonstrate compliance to the Department's satisfaction.
3. The Department reserves the right to require additional evidence when, in its opinion, circumstances require additional levels of assurance.
4. Types of Evidence to support financial claims may include:
  - Personal Training Plan
  - Review documentation
  - In house attendance records
  - Milestone claim templates and supporting documentation
  - Certificate templates
  - Essential Skills Certificates
  - NVQ Certificates
  - Full Framework Certificates
  - Documentation from Awarding Bodies with registration number and date
  - Delivery Agreement
  - Existing Employee Application form

- Employer Incentive payments
- BACS payment records
- Bank Statements

5. Specific Evidence Required for Type of Claim

<b>Type of Claim</b>	<b>Evidence Requirement</b>
Start Payment	Compliant PTP
Milestone Payment	Compliant Milestone claim forms and supporting documentation
ORF	Certificates of Achievement: Essential Skills Certificates NVQ Certificates Full Framework Certificates
Other Payments	Employer Incentive Payment records / Bank Statements

These records must show that what was claimed was applied to the correct account, that monies from that account have been paid to the correct individuals, specifying what each payment is for and that the payment has been en-cashed.

6. Types of Evidence to demonstrate contract compliance may include:

- Documented Essential Skills Tutor Qualifications
- Documented evidence of Enhanced Disclosure Check (AccessNI)
- Documented list of the Disability Support Suppliers (DSSs)
- Documented Pastoral Care arrangements
- Documented Child Protection Policy
- Supplier Insurance Certificates
- Documented Whistle blowing and Anti-Fraud Policies
- Documented Equal Opportunities Policy statement
- Documented statement of familiarisation with the EU Charter for Regional and Minority Languages
- Documented statement of familiarisation of the current equal opportunities legislation

## 7. Specific Evidence for Type of Compliance Test

### **Compliance Test Area and Evidence Requirement is below**

#### **Essential Skills Tutor Qualifications**

Documented evidence of Essential Skills tutor qualifications required to deliver Essential skills in NI in line with ES circular 01/12.

#### **Enhanced Disclosure Check (AccessNI)**

Documented evidence of all Enhanced Disclosure Checks carried out through AccessNI for participants and all members of staff, either within a Supplier or training partner, who is in a regulated work position.

#### **Disability Support Suppliers (DSSs)**

Documented evidence that the Supplier has selected the most appropriate DSS from Annex 8 of the Programme Requirements.

#### **Pastoral Care arrangements**

Documented evidence of the Supplier's DSS list who engage in counselling and pastoral care support as required.

#### **Child Protection Policy**

Documented evidence of the Supplier's Child Protection Policy as defined by the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007 (as amended by the Protection of Freedoms Act 2012).

#### **Insurance Certificates**

Copies of the Supplier's Insurance certificates.

#### **Whistle blowing Guidance and Anti-Fraud Policies**

Copies of the Supplier's Whistle blowing Guidance and Anti-Fraud policy.

#### **Equal Opportunities**

Documented Equal Opportunities Policy statement.

#### **EU Charter for Regional and Minority Languages**

A copy of the EU Charter for Regional and Minority Languages and a documented statement of familiarisation with the document.

## ANNEX 17: Claims Calendar

### APPRENTICESHIPSNI CLAIMS CALENDAR 2021/22 – 2023/2024

Claim Period	Week Commencing	Week Ending	To be received by CPT no later than
6	19/12/2022	15/01/2023	27/01/2023
7	16/01/2023	12/02/2023	24/02/2023
8	13/02/2023	12/03/2023	24/03/2023
9	13/03/2023	09/04/2023	21/04/2023
10	10/04/2023	07/05/2023	19/05/2023
11	08/05/2023	04/06/2023	16/06/2023
12	05/06/2023	02/07/2023	14/07/2023
13	03/07/2023	30/07/2023	11/08/2023
1	31/07/2023	27/08/2023	08/09/2023
2	28/08/2023	24/09/2023	06/10/2023
3	25/09/2023	22/10/2023	03/11/2023
4	23/10/2023	19/11/2023	01/12/2023
5	20/11/2023	17/12/2023	29/12/2023
6	18/12/2023	14/01/2024	26/01/2024
7	15/01/2024	11/02/2024	23/02/2024
8	12/02/2024	10/03/2024	22/03/2024
9	11/03/2024	07/04/2024	19/04/2024
10	08/04/2024	05/05/2024	17/05/2024
11	06/05/2024	02/06/2024	14/06/2024
12	03/06/2024	30/06/2024	12/07/2024
13	01/07/2024	28/07/2024	09/08/2024

## ANNEX 18: Claim for other approved funding (CIP1)

### Claim for other approved funding (CIP1)



**NB: This form should only be used for claims pertaining to the 2021 ApprenticeshipsNI programme where payment has not been generated via TAMS**

Contractor Name			
Site ID			
Claim Period to which this claim refers			
Participant Name			
Participant ID			
Start Date		End Date	
Course Strand			
Amount Being Requested			
Approval Date of ORF (if Applicable)			
<b>Error Type</b>			
System			
Contractor			
Departmental			
<b>Please use space provided to give a detailed explanation for this request:</b>			
Requested by		Date	
<b>Department Use Only</b>			
<b>Outcome of Request</b>			
Date Resolved			
Outcome Approved/Rejected			
Recurring Error			
<b>Justification</b>			

## ANNEX 19: Disability Support Contractors

NAME	CONTACT	ADDRESS	CONTACT DETAILS
<b>Clanrye</b>	<b>Jim O'Hare</b>	Slieve Gullion Courtyard, 89 Drumintee Rd, Killeavy, Newry, BT35 8SW	Tel: 028 30898119 Mob: 07866746423  <b>Jim O'Hare</b> <a href="mailto:jim.O'hare@clanryegroup.com">jim.O'hare@clanryegroup.com</a>  Mob. 07773218182
<b>Disability Action</b>	<b>Karen Smith Lisa McVeigh</b>	Portside Business Park 189 Airport Road Belfast BT3 9ED	Tel: (028) 90297880 Fax: (028) 90297881  <b>Karen Smith</b> <a href="mailto:karensmith@disabilityaction.org">karensmith@disabilityaction.org</a> 028 90297874  <b>Lisa McVeigh</b> <a href="mailto:lisamcveigh@disabilityaction.org">lisamcveigh@disabilityaction.org</a> 07967737470
<b>Ulster Supported Employment Limited (USEL)</b>	<b>David Cowan Phil McFall</b>	182-188 Cambrai Street Belfast BT13 3JH	<b>David Cowan</b> <a href="mailto:dcowan@usel.co.uk">dcowan@usel.co.uk</a> Tel: 028 9035 6600 Fax: 028 9035 6611 Mob: 07739348817  <b>Phil McFall</b> <a href="mailto:pmcfall@usel.co.uk">pmcfall@usel.co.uk</a> 07833208369



# FORM APPRENTICESHIPSNI 1: BANK DETAILS AND AUTHORISED SIGNATORIES



Department for the  
**Economy**  
www.economy-ni.gov.uk

**Apprenticeships**

## **BANK DETAILS AND AUTHORISED SIGNATORIES APPRENTICESHIPSNI 2021**

**Please use CAPITAL letters**

### **Contractor Details:**

Name of Contractor:

---

Address:

---

Postcode:

---

Start date of provision:

---

### **Details of Bank Account (to which payments are to be made):**

Name of Bank:

---

Address:

---

Postcode:

---

Account Name:

---

Account No.

---

Bank Sort Code:

---

**Authorised signatories:**

**I (Name CAPITAL LETTERS)**

---

**authorise the following to sign *ApprenticeshipsNI* forms on my behalf.  
Their signatures are binding on this Contractor.**

**Position:**

---

**Signed:**

---

**Date:**

---

Name:

---

Position:

---

Specimen signature:

---

Name:

---

Position:

---

Specimen signature:

---

Name:

---

Position:

---

Specimen signature:

---

Name:

---

Position:

---

Specimen signature:

---

Name:

---

Position:

---

Specimen signature:

---

**Declaration by Contractor: I declare that the information given is correct and any changes will be notified.**

Position: \_\_\_\_\_

Signed: \_\_\_\_\_

Name (PRINT): \_\_\_\_\_

Date: \_\_\_\_\_

**Please send the completed form to:**

Commercial Services Branch  
Department for the Economy  
5<sup>th</sup> Floor, Adelaide House  
39 – 49 Adelaide Street  
BELFAST  
BT2 8FD

## FORM APPRENTICESHIPSNI 2 – MILESTONE DECLARATION TEMPLATE



**Apprenticeships**

### MILESTONE DECLARATION TEMPLATE FOR APPRENTICESHIPSNI 2021

**This version printed below is for information only. The template must be submitted in Excel format, available from [CPT@economy-ni.gov.uk](mailto:CPT@economy-ni.gov.uk)**

From (Contractor): \_\_\_\_\_

Programme: \_\_\_\_\_

Week Ending: \_\_\_\_\_

Client ID	Participant ID	Client Name	Start Date	APPSNI Level (2, 2/3, 3)	APPSNI Framework Number	APPSNI Framework Title	Framework Funding Category	Milestone Payment Number


Additional lines may be added as required

---

## DECLARATION

I certify that the above information is correct and all supporting evidence in respect of each milestone being claimed against each apprentice has been retained and is available for inspection as required, the milestone total matches the TAMS claim and I am an authorised signatory for the contract

**Contractor Signature:**

---

**Date:**

---

## NOTES

### APPRENTICESHIP MILESTONES FURTHER INFORMATION

Participants may be undertaking the following apprenticeship framework routes

1. Level 2 Registered on a level 2 framework only
2. Level 2/3 Registered on a level 3 framework only (with level 2 en route). Milestone 5 should only be claimed after a participant has completed and achieved the level 2 requirements en route to the level 3 and is continuing in the programme.

3. Level 3 Registered as a progression having achieved a competence based level 2 or NVQ 2 in a level 2 framework or alternate provision, or having achieved sufficient experience to warrant exemption from level 2 requirements (see paragraph 2.4)
  - In 1. Contractor should claim Milestones 1-4 using this form
  - In 2. Contractor should claim Milestones 1-8 using this form
  - In 3. Contractor should claim Milestones 1-4 using this form

## FORM APPRENTICESHIPSNI 2a – Certificate Template



**Apprenticeships**

### CERTIFICATE TEMPLATE FOR APPRENTICESHIPSNI 2021

This version printed below is for information only. The template must be submitted in Excel format, available from [CPT@economy-ni.gov.uk](mailto:CPT@economy-ni.gov.uk)

**AppsNI 2021 Qualifications - Certificate Template**

CONTRACTOR  Claim Period

Apps NI Level (2,2/3, 3)	Client ID	Client Surname	Client Forename	ORF Title	ORF Amount
<b>TOTAL</b>					0

Declaration

I certify that the above information is correct and all supporting certificates in respect of each claim are attached, the certificate total matches the TAMS claim and I am an authorised signatory for the contract

**Print Name**

**Date**



# FORM APPRENTICESHIPSNI 3(A) – Enforced Interruption to Training



**Apprenticeships**

## Form ApprenticeshipsNI 3(A)

### ENFORCED INTERRUPTION TO TRAINING

The above apprentice

Apprentice Name (PRINT): \_\_\_\_\_

D.O.B: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Delete as appropriate:

- (1) This Contractor has made every effort to find a suitable, alternative placement for the above-named apprentice, without success.
- (2) The above apprentice has had an enforced interruption to training due to:

Therefore, training will be suspended with effect from (date): \_\_\_\_\_

and is expected to resume on (date): \_\_\_\_\_

Contractor: \_\_\_\_\_

Signed: \_\_\_\_\_

*Contractor Authorised Signatory)*

*This form must be retained for audit purposes*

Date: \_\_\_\_\_

# FORM APPRENTICESHIPSNI 3(B): Resumption to Training Following Enforced Interruption



**Apprenticeships**

## Form ApprenticeshipsNI 3(B)

### RESUMPTION TO TRAINING FOLLOWING ENFORCED INTERRUPTION

Apprentice Name (PRINT): \_\_\_\_\_

D.O.B: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

**Delete as appropriate:**

This Contractor notified you on *ApprenticeshipsNI* Form A dated: \_\_\_\_\_

that the above-named apprentice was expected to resume training on (date):  
\_\_\_\_\_

following an enforced interruption due to: \_\_\_\_\_

They resumed training today (date): \_\_\_\_\_

Taking account of the balance of the training period due, the revised expected end date has been calculated as (date):  
\_\_\_\_\_

Contractor: \_\_\_\_\_

Signed: \_\_\_\_\_  
*Contractor Authorised Signatory*

*This form must be retained for audit purposes*

Date: \_\_\_\_\_

# FORM APPRENTICESHIPSNI 4: Existing Employee Application



## Form ApprenticeshipsNI 4

### EXISTING EMPLOYEE APPLICATION FORM

**(this form must be retained by the Training Contractor)**

To be completed by employer in respect of an existing employee applying for a place on a provision. The information provided on this form may be made available to other Departments / Agencies for the purposes of preventing or detecting crime.

All sections must be completed by the Contractor.

#### PROVISION TO BE FOLLOWED:

---

#### QCF NUMBER:

---

#### RRQ:

---

#### (i) PERSONAL DETAILS OF EMPLOYEE

SURNAME:(and Maiden Name if appropriate)  

---

FORENAME(S):  

---

TITLE:(please tick) Mr  Miss  Mrs  Ms

Date of Birth:  

---

National Insurance Number  

---

Address  

---

Postcode  

---

Contact Telephone Number  

---

Mobile Number  

---

Framework Title \_\_\_\_\_

Framework Level \_\_\_\_\_

Framework Number \_\_\_\_\_

**(ii) TRAINING**

Has the employee previously participated in Training for Success / Skills for Life & Work / Traineeship / Jobskills / *ApprenticeshipsNI* Training provision? (delete as appropriate):

Yes

No

Name of Training Contractor: \_\_\_\_\_

Start Date: \_\_\_\_\_

Leaving Date: \_\_\_\_\_

Details of NVQ Level 2 / Level 3 worked towards / achieved (delete as appropriate):

--

**(iii) How many full-time employees does the employer have based at the same location as the Apprentice?**

\_\_\_\_\_

**(iv) How many other people are undertaking Training for Success / Skills for Life and Work / Traineeship or Apprenticeships with the same employer?**

\_\_\_\_\_

**(v) EDUCATION AND EXPERIENCE**

Please state the evidence of prior learning / experience to positively suggest that the employee would successfully complete an *ApprenticeshipsNI* apprenticeship. Include exact details of any relevant education, learning or training (taught or self-taught) qualifications, beginning with the most recent:

--

**(vi) EMPLOYMENT AND TRAINING**

Please provide full details of employee’s current job position and any other positions held within the same company. Ensure current job title is stated and that present duties within the company are clearly defined.

<b>Job Title</b>	<b>Length of time in position</b>	<b>Responsibilities and Duties</b>



**(vii) DECLARATION**

**TO BE COMPLETED BY EMPLOYER**

(PLEASE COMPLETE IN BLOCK CAPITALS)

I certify that the information contained in this form is correct.

The following person is employed by our organisation and is contracted to work the following hours per week.

**Apprentice name and Hours:**

I understand the requirements of my employee undertaking an *ApprenticeshipsNI* apprenticeship.

I understand that the taking on of additional responsibilities is a key requirement of the *ApprenticeshipsNI* provision.

I will release the employee for additional directed training as required.

I will inform my Contractor of any changes with the information given, e.g. job role, contracted hours etc.

I certify that all the legal requirements regarding the employment of the applicant have been adhered to.

EMPLOYER COMPANY NAME:

ADDRESS OF EMPLOYER:

POSTCODE:

NAME OF REPRESENTATIVE:

POSITION WITHIN COMPANY:

TELEPHONE NUMBER:

SIGNED (FOR EMPLOYER):

DATE:

**TO BE COMPLETED BY EMPLOYEE**

(PLEASE COMPLETE IN BLOCK CAPITALS)

The information contained in this form is correct.

I understand that I am being trained by my employer, that I will be following directed training which will lead to my acquiring an apprenticeship qualification and I agree to undertake whatever directed training is required as part of the framework.

SIGNED (EMPLOYEE):

---

DATE:

---

**TO BE COMPLETED BY CONTRACTOR**

(PLEASE COMPLETE IN BLOCK CAPITALS)

The information contained in this form is correct.

I have explained to the employer and employee the requirements of ApprenticeshipsNI provision, the training requirement and the likely number of day releases required.

I confirm that an appropriate contract is in place.

Any changes with the information given, e.g. job role, contracted hours etc, will be notified to the JobCentre / Jobs and Benefits Office.

CONTRACTOR COMPANY NAME:

---

ADDRESS OF CONTRACTOR:

---

POSTCODE:

---

NAME OF REPRESENTATIVE:

---

POSITION WITHIN CONTRACTOR:

---

SIGNED (FOR CONTRACTOR):

---

DATE:

---

**For Official Use**

Checked

---

Approved

---



## FORM APPRENTICESHIPSNI 5: Application for Certificate



Department for the  
**Economy**  
www.economy-ni.gov.uk

**Apprenticeships**

(Note: The Department reminds Training Contractors of their obligations under the Data Protection Act 1998 and GDPR relating to the processing of personal data.)

### **PART A:** TRAINING CONTRACTOR DETAILS

Training Contractor Name:

---

Address:

---

Postcode:

---

Telephone Number:

---

### APPRENTICE DETAILS

Apprentice's Full Name (BLOCK CAPITALS):

---

Does the participant's name on this form correspond with / match the name on the evidence supplied?

Yes

No\*

**\* If No, please provide documentary evidence for name change.**

National Insurance Number:

Date of Birth:

Level 2 Start Date:

Level 3 Start Date:

Client ID:

Employer Name:

Employer Address (inc postcode):

Employer Email Address (**required**):

The above-named person has completed an Apprenticeship in:

Apprenticeship Framework Title (e.g. Retail):

Apprenticeship Framework No (e.g. 31):

Apprenticeship Framework Issue No (e.g. Issue 9, 10/18):

**PART B:**

Please confirm which level you are applying for: Level 2  Level 3  Level 2/3  The following certificates, which are a true copy of the original, are attached (please tick appropriate boxes):

Competence Based Component  Knowledge Based Component

Essential Skills: Application of Number  Communication  ICT

Additional Certificates (please specify):

Please make sure that the evidence provided matches the issue number as stated on the first page. A mismatch may result in this form being returned and may impact on the funding deadline.

**PART C: CERTIFICATION OF RELATED KNOWLEDGE – EMPLOYMENT RIGHTS AND RESPONSIBILITIES**

This is to certify that: (tick appropriate box)

The above-named apprentice completed Employment Rights and Responsibilities as stipulated in the above-named Apprenticeship framework and that I hold acceptable evidence to this effect.

The above-named framework does not have a requirement for knowledge in Employment Rights and Responsibilities.

**PART D:**

I have read over the claim information and declare that it is complete and accurate.

I understand that providing wrong or deliberately misleading information is an offence, and such information may be used against me in any subsequent criminal investigation.

I also understand that the information provided on this form may be made available to other Departments / Agencies for the purposes of preventing or detecting crime.

DECLARATION (to be completed by Authorised person within Contractor):

NAME (BLOCK CAPITALS):

POSITION WITHIN CONTRACTOR:

SIGNED:

DATE:

# FORM APPRENTICESHIPSNI 6: Application for Disability

## Support



**Apprenticeships**

### Application for Disability Support

***Please ensure completed form is sent safely and securely to recipient.***

**\*Patient/Client Name:**

---

**Home Address:**

---

**Trainee reference:**

---

I understand that [ \_\_\_\_\_ ] *\*is/was a \*patient/client/student* in your *\*practice/care/school*.

[ \_\_\_\_\_ ] is participating in the Department for the Economy's *\* ApprenticeshipsNI 2021* programme. Under this programme Disability Support can be provided for those who have a disability to help them benefit fully from the training on offer and to achieve the best possible outcomes.

In order to draw down this support the Department requires evidence of a disability where no previous evidence exists. The Department has advised that it has no record of [ \_\_\_\_\_ ] having a disability.

However, in my capacity as *\*his/her* Training Contractor I am of the opinion that this client has a disability and would benefit from additional support. I am therefore seeking evidence from you to support my assessment.

I have provided a template to facilitate this request which includes a signed parental/guardian consent form and statement of evidence and would greatly appreciate your time in providing any supporting information you feel may be appropriate. Any evidence supplied will be treated confidentially and it will be passed to the Department to facilitate a review of an application for support.

**Training Contractor**

***\*Delete as appropriate***

**\*Health and Social Care Professional**

**\* Educational Professional**

**PARENTAL/GUARDIAN CONSENT FORM  
STATEMENT OF EVIDENCE**

*Please ensure completed form is sent safely and securely to Recipient.*

Trainee Name: \_\_\_\_\_

Address: \_\_\_\_\_

DOB: \_\_\_\_\_

To: \_\_\_\_\_

*( insert name of Doctor, Health and Social Care or Educational Professional )*

I hereby consent to the provision of evidence to support a request for  
Disability/Additional Support for

\_\_\_\_\_ who is participating in *ApprenticeshipsNI 2021*.

*(Insert Trainee Name)*

Signed: \_\_\_\_\_

**Trainee/Parent/Guardian**

Date: \_\_\_\_\_

Contractors must retain a copy of the completed form in the participant hard-copy records.

**\*ApprenticeshipsNI 2021 programme**

*Please ensure completed form is sent safely and securely to Recipient.*

**STATEMENT OF EVIDENCE**

**\*Patient/Client/Student Name:** \_\_\_\_\_

**Home Address:** \_\_\_\_\_

**Trainee reference:** \_\_\_\_\_

This form facilitates the provision of evidence to support a request for disability support.  
*Please use the boxes provided to answer the following questions.*

Does this individual have a disability?      Yes          No   

If Yes which category does it fall in to?

Hearing

Learning

Mental Health

Physical/Mobility

Visual

Hidden/other (e.g. speech/heart)

Name: \_\_\_\_\_

Profession: \_\_\_\_\_

Address: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

*\*Delete as appropriate*

**Health and Social Care Professional**

**\* Educational Professional**