

SERVICE PLAN

SERVICE AREA	Adults
FUNCTION	Public Health – Adult Learning
SERVICE TREATMENT	Lead
PROVIDER AUTHORITY	North Northamptonshire Council (“NNC”)
RECEIVING AUTHORITY	West Northamptonshire Council (“WNC”)

1. OVERVIEW

- 1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services.

2. CRITICAL SERVICE FAILURE(S)

- 2.1 Critical Service Failures in respect of the Delegated Functions in this Schedule 3C2 are:

2.1.1 Physical environment:

- Closure or inability to access storage or resources, including confidential records at OAS / Booth Meadow House for any period of time.
- Closure or inability to access Exams Safe stored on ground floor of OAS;
- Inability to secure appropriate premises for delivery of face-to-face courses.

2.1.2 Failure to meet the statutory requirement of ESFA.

3. NOTICE PERIOD

- 3.1 The Notice period for termination of this Delegated Function is dependent on ESFA funding and approval. Notification of funding allocation is in March prior to the start the new academic year on 1 August, but if funding is to be withdrawn for the service, it would probably be advised earlier. The reason for this would either be because of a serious breach of the contract, a very poor Ofsted grade or national government had withdrawn funding for Community Learning.

4. KEY PERFORMANCE INDICATORS

4.1 National / Statutory key performance indicators and reporting requirements:

KPI ref	KPI description	KPI Target	Performance threshold levels	Guidance	Reporting frequency	Who measure is reported to? (e.g. Govt dept)
AL01	Completion and submission of ILR record (ILR) to ESFA on a monthly basis	ILR return submitted	Green = 3/3 monthly ILR returns submitted Amber = 2/3 monthly ILR returns submitted Red = 0/1 out of 3 monthly ILR returns submitted	In accordance with the requirements set out by the Education and Skills Funding Agency (ESFA)	Monthly	Education and Skills Funding Agency (ESFA)
AL02	Self-Assessment report (SAR) produced and submitted to OFSTED within the required timescale	Report produced and submitted to OFSTED within timescale	Green = SAR returned within required timescales Amber = SAR submitted by outside require timescale Red = SAR not submitted	Rigorous Self-assessment cross referenced to the Ofsted Education Inspection Framework is completed for the previous academic year and sent to Ofsted by January of the new academic year.	Annual	Ofsted

4.2 Locally agreed key performance indicators:

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
AL03	A Performance Board is held on a termly basis to provide oversight of NNC delivery of Apprenticeship training and the Adult Learning Service.	Yes	Green = Performance Board held. Red = Performance Board not held.	Termly	NNC is registered on the DfE's Register of Approved Training Providers to deliver Adult Learning and apprenticeships and holds the UKPRN in order to receive the funding required to do this. Given the funding is for training in the whole county the Performance Board will act as a critical friend and provide appropriate governance. A governing body is also required for Ofsted regulated provision and the Performance Board will also fulfil this function. Membership of the Performance Board currently includes Executive Member for Adults, Health and Wellbeing (NNC), Cabinet Member for Adults, Social Care and Public Health (WNC), Employment and Skills Manager (SEMLEP), Library Service Manager (Chair and lead for Libraries in WNC and NNC). Membership is likely to be extended to officers from Public Health in WNC and NNC once the restructure is complete.
AL04	An Adult Learning performance report (which includes data dashboard) is produced and presented to Performance Board three times a year	Report produced and circulate to PB	Green = performance report produced and presented to Performance Board Red = performance report not produced or presented	3 times a year	Report to include participation rates based on postcode of residents in NNC and WNC. Report will also include overall data for learner satisfaction, achievement, quality improvement and safeguarding information.

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
AL05	An Adult Learning strategy (underpinned by ESFA contract and aligned to Public Health outcomes) is developed for both authorities and approved by Performance Board.	Strategy developed and approved by Performance Board	Green = Strategy in place, approved by board. Amber = Strategy in place but not approved by board Red = No strategy in place	Annual	The Adult Learning strategy will take into account national and local priorities for post 19 education and set out the detail of the curriculum offer for both accredited and non-accredited learning and how it will be delivered to those who experience social and economic disadvantage.
AL06	% of learners who achieve qualification for accredited courses funded by ESFA skills funding allocation	75%	Green = >75% Amber = 63% – 75% Red = <63%	Annual	Internal target set by the service to ensure that there are high expectations of learner achievement while taking into account the offer is focused on the hardest to reach.
AL07	OFSTED rating for regulated provision to be at least 'Good'.	Maintain at least Good rating	Green = Outstanding or Good Amber = Requires Improvement Red = Inadequate	Annual (through SAR)	Updates to be given at Performance Board meetings on current provision. Annual Self-Assessment report produced yearly to include grade. OFSTED inspections have no set timescale, although currently 'Good' providers are visited within 7 years. The last 'Good' grade achieved through an OFSTED inspection was gained in September 2016.

5. FINANCIAL INFORMATION

- 5.1 The grant from ESFA for Adult Learning will be payable to NNC and NNC will be the accountable body for the grant, for both NNC and WNC.
- 5.2 WNC does not hold a UKPRN relative to the current grant funding.
- 5.3 In order that the costs for providing Adult Learning are reflected in the accounts of both NNC and WNC the following will be required:
 - 5.3.1 North will account for the grant and expenditure in full – however in order that the costs associated with Adult Learning relate to NNC – NNC will raise an invoice to WNC so that NNC are reimbursed for costs relating to WNC.
 - 5.3.2 WNC will raise an invoice to NNC so they receive the grant to offset the expenditure.
 - 5.3.3 The raising of the invoices will be undertaken on separate codes so NNC as the accountable body records the full cost of both the grant and expenditure – enabling any returns to ESFA to reflect this and NNC shows the gross cost for reporting to ESFA – but the net position is reflected in the accounts for both NNC and WNC.
 - 5.3.4 The invoice raising can be conducted on an annual basis.

6. Recharging Methodology

- 6.1 The Adult Learning service is directly accountable to the Education Skills and Funding Agency (ESFA) and the contractual relationship exists between solely between North Northamptonshire Council and the ESFA. There is no ESFA contractual relationship or grant paid to West Northamptonshire Council (WNC) and therefore no financial expenditure or income transactions in WNC.
- 6.2 It is therefore proposed that no transactions or recharging takes place between WNC or NNC in respect of the Adult Learning Service and the ESFA grant. All accountability and scrutiny for the delivery of adult learning courses across Northamptonshire will take place through KPI's, service monitoring and returns, further detailed within the IAA.
- 6.3 During the October of each academic year a final return is submitted to ESFA relating to the grant expenditure and claim. Therefore, the following process is proposed:

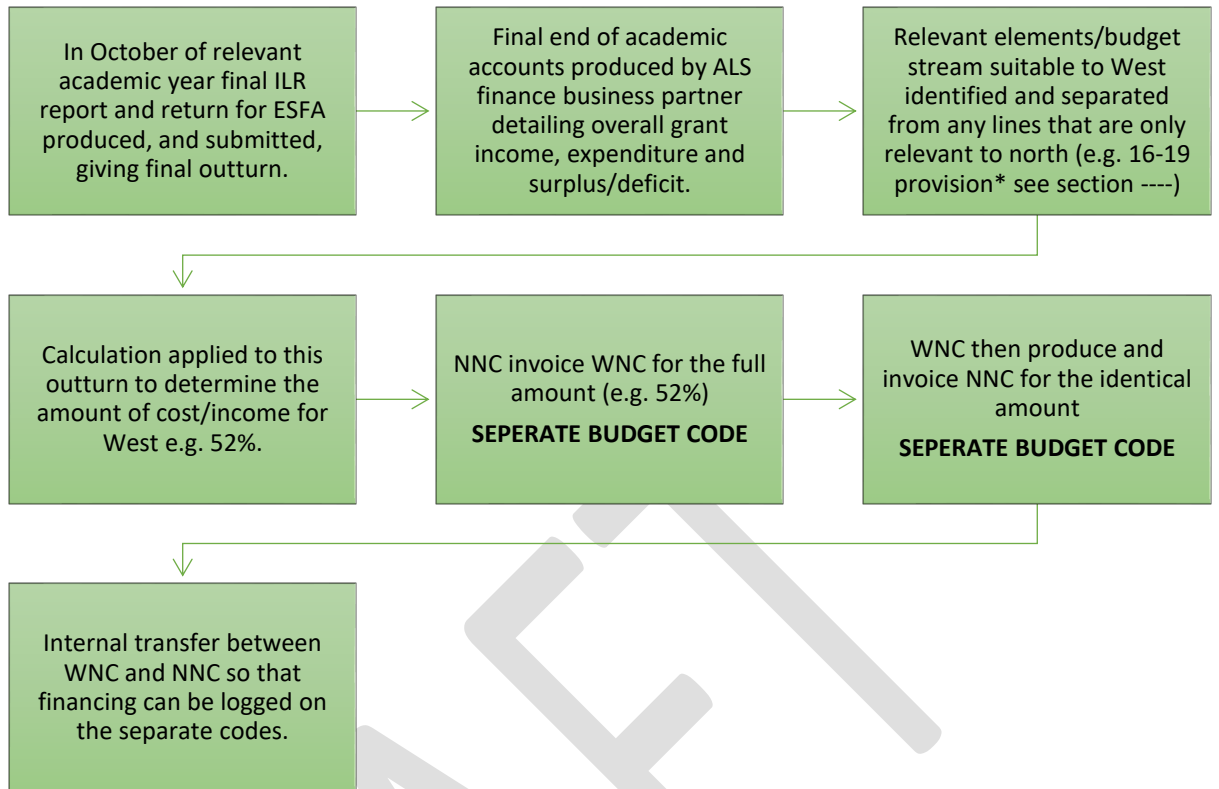


Image 1 – process chart for ALS recharging

6.4 The same process can be run in April following the closure of the relevant Financial year allowing for adequate budget management between NNC and WNC if required.

7. Surplus/Deficit

7.1 Any surplus that is identified at the end of the academic year accounts for ALS are transferred into the reserve fund held by NNC ALS.

7.2 Any deficit would be recovered via the reserve fund in the first instance.

7.3 In the, highly unlikely, event of a reserve not having sufficient funds to cover the deficit, the cost is to be covered by both NNC and WNC based on the percentage of delivery within each area.

7.4 In the, unlikely, event of an agreed loss leading provision (e.g. council choses to fund delivery separately to the ESFA grant for moral reasons) then the agreement of deficit will be allocated to a separate budget and charged to the relevant authority only.

8. Reserve fund

8.1 Any reserves that are accrued following surplus of previous grant funding and/or fee income need to be ringfenced to allow for expenditure on ALS, and related activity, only. Please note: whilst any funding not attributed to the ESFA grant (e.g. fee

income) can be utilised differently this would cause unnecessary confusion to separate this out and would pose a potential risk at the point of audit.

- 8.2 All current reserves held by both NNC and WNC specific to ALS will be transferred to one joint reserve account and held accordingly. NNC and WNC representatives will control the spend of this reserve through the progress review boards.
- 8.3 The reserve fund can be used to fund exceptional expenditure such as, but not limited to, upgrade of facilities, recruitment of posts, delivery of provision on non-funded residents.
- 8.4 Due to risks of clawback, funding changes and deficits a significant reserve fund would remain available to safeguard against any operating deficits and to ensure the ALS provision remains viable and self-sufficient.
- 8.5 Approval for the use of the reserve will follow the agreed NNC process.
- 8.6 Whilst the reserve fund sits within NNC ALS, any expenditure decisions relating to the reserve fund will be reported at the Progress Review Boards and details of benefit to NNC or WNC clearly recorded.

9. Reporting

- 9.1 The agreed percentage of delivery per unitary council is agreed each year at the performance management boards.
- 9.2 Key Performance Indicators and Service Level Agreements for relevant delivery will be agreed in addition to the financial recharging above.
- 9.3 Regular reporting to show the accurate amount of delivery in all parts of Northamptonshire, and clearly demonstrating the breakdown between North and West, will be available monthly.
- 9.4 The agreed KPIs and SLAs will be reviewed at each Performance Board represented by both NNC and WNC.