

Guide - How to put together a WDF claim 2011/12

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Introduction

Skills for Care aim to process WDF claims as quickly and efficiently as possible, in order to facilitate this we have put together guidance on how best to put together a claim. Using the frequently asked question together with the below guidance you can be assured that your claim will be dealt with optimum efficiency, ensuring the payment is then released as quickly as possible.

The new funding claim form

The **new funding claim form has changed** and has been designed to incorporate the introduction of the Qualification Credit Framework (QCF), whilst still including National Vocational Qualifications (NVQs) during this transitional phase. Please make sure that you are using the most up to date **WDF** version of the funding claim form as the old TSI version is no longer recognised by our system.

When a claim is processed the electronic copy of the claim form is uploaded into our unit tracking system. Due to this any amendments to the formatting can not be recognised and it will therefore reject the claim form.

Examples include:

- If a member that is not showing on the drop down menu is manually typed on the form our system can not recognise them as eligible for funding and so will not accept them.
- There are 20 lines on the claim form. If there are more than 20 candidates for the claim, please start a new claim form, as any manually inserted lines can not be recognised.
- The value of a QCF unit depends on the number of credits, if a unit code is incorrectly entered this could result in the miss-calculation of the value of a claim and it will not be recognised by our system.

You will **receive an updated** claim form whenever a newly eligible member is added. Our NMDS-SC information is updated at the beginning of each week. Once this update has taken place our system flags up all the partnerships that have newly eligible members showing and a new claim form will then be generated and sent to you. Additionally, if we receive a new partnership membership form/organisation details form for a member and they have met the NMDS-SC requirements you will be sent a new claim form with them appearing. Please note that if you do not receive a claim form one week this means that none of your members have been flagged up as being NMDS-SC eligible **and/or** submitted a partnership membership form. Please use the eligibility guidance below to ascertain why a member is not showing on the claim form before contacting the contracts unit.

Please note we reserve the right to return incorrect or incomplete claims.

Eligibility requirements

There are three parts that make up the eligibility requirements for WDF. These must all be met in an order for a member to appear on the funding claim form and therefore claim WDF. If the member is not showing on the funding claim form they are not eligible to claim regardless of their NMDS-SC status.

The three eligibility requirements are as follows:

- All members must complete a WDF partnership membership (appendix 1.) form for this funding year, a copy of this must be submitted to Skills for Care for them to be registered as a member. If a member has more than one establishment wishing to register as a member we will require a fully completed partnership membership form for each one, we are unable to accept one partnership membership form for head office to cover multiple establishments. If you hold a WDF contract directly with Skills for Care you will need to use the organisation details form (appendix 6) and not the partnership membership form. Please contact your Contracts Officer if you are not sure which form to use.
- An establishment must fully complete and **update** an NMDS-SC organisational record after 1 April 2011.
- The establishment must fully complete individual worker records for a minimum of 90% of its total workforce (this includes any staff who are not care-providing). These must be fully updated after 1 April 2011.

In order to support employers any members that met these requirements between the 1st April 2010 and the 31st March 2011 will remain NMDS-SC eligible until the 30th September 2011. In order to remain eligible for the whole funding year they will need to fully update both sections after the 1st April 2011. Please note we will still require a partnership membership/organisation details form for those members that achieved NMDS eligibility during 2010/11.

Please ensure that partnership membership/organisation details forms are correctly filled in and that the NMDS-SC number correlates to the given address, incorrect data can not be added to our system and the form will be returned, this will result in a delay in a member being added. For two scenario examples of commonly occurring eligibility issues see appendix 5.

Evidence requirements

Before you can put together a claim you will need to gather the required evidence from the member. They will need to provide the following information:

- QCF/NVQ Unit Summary Sheet or the training provider/assessment centre equivalent*. This must contain – Candidate name, unit code(s) and title, Candidate Registration/Enrolment Number/Unique Learner Number (ULN) for QCF, assessor and internal verifier signature and date and the Awarding Body. See appendix 2 for example. If the ULN number is supplied please make sure that the candidate name is the same as that registered with the Learner Records Service. Providing the ULN number is not compulsory but would be helpful.
- It is your **responsibility** to make sure that the evidence you have received meets the below criteria before submitting the claim to SFC:

- NVQ units must be completed, assessed and verified after the 1st Jan 2011 and before the 30th September 2011. These must be **received** by SFC by the 31st October 2011 milestone.
- QCF units must be completed, assessed and verified after the 1st January 2011 and by the 17th March 2012. These can be claimed throughout the 2011/12 funding year up until 30th March 2012.
- We can accept summary sheets which display more than one unit per page, providing that the sheet meets the above requirements. For example an NVQ summary sheet may display all the units completed for that qualification.

* We are able to accept the training provider/assessment centre's own version of the unit summary sheet. However please ensure that all required information has been captured. A copy of the Unit Summary Sheet is available from the SFC website to be distributed to your members as required.

We are **unable to accept certificates** in lieu of the unit summary sheet.

Filling out a claim form

Once you are satisfied that the evidence you have meets the evidence requirements you will now need to complete the funding claim form in these 8 steps.

Step 1. Select the relevant organisation from the drop down menu; please see below for further guidance

Step 2. Manually type the candidate name.

Step 3. Select the relevant awarding body from the drop down menu e.g Edexcel.

Step 4. Manually type the candidate registration/enrolment number

Step 5. Enter the relevant unit codes in columns F to M. To do this: select "go to list of NVQ/QCF units". This will bring up the list of NVQ/QCF units. **Find, right click** and select **copy** on the relevant unit code. Return to the original sheet by clicking on the funding claim form tab (highlighted by the green arrow)

Step 6. Paste the unit code – Repeat steps 5 & 6 for all units for this candidate, working across the claim form from

Step 7. Repeat **all** steps for each candidate. Once all information has been entered, Click **Validate unit codes** button (circled above) to identify correct codes

Step 8. The completed claim must be printed and signed by the lead member. Use the checklist on the form to ensure you have covered everything.

Once complete, please send this form to: Skills for Care, Contracts Unit, West Gate, Grace Street, Leeds, LS1 2RP

I certify that the amounts claimed above were expended wholly and necessarily on the objective in accordance with the contract and that the details given on this form are accurate to the best of my knowledge

lead partner name _____

signature _____

checklist

- units signed **and** dated by Assessor **and** IV?
- completed within funding year?
- organisation listed on drop-down list?

Step 1. Only WDF eligible members will appear on this drop down menu, if a member is missing it will most likely be due one or both of these requirements not being met-

- They have not met NMDS-SC requirements (see page 3)
- SFC have not received a WDF 2011/2012 partnership form/organisation details form (a copy of this is available on the SFC website or on request)

If the member has fulfilled **both** the above and still does not appear please contact the Contracts Unit who will be able to advise further but please **do not** manually type a **missing organisation**.

Step 2. Please ensure that the candidate name is entered, fully and accurate, with the given name (forename) followed by the family name (surname). It is important to remember the following points:

- Please do not use the candidates initials e.g. A. Smith.
- It is your responsibility to keep us informed of any name changes of candidates and the reason why, for example, if they have got married. Please let us know in writing so that we can keep our system up to date. If the name we have on our system doesn't match the evidence we will have to return the unit.

Step 3. If the awarding body is unknown please refer back to the organisation, do not just leave it blank.

Step 4. Please ensure that the candidate registration/enrolment number completed as this is used to identify duplicate funding.

Step 5. If you are manually inputting the unit codes rather than copy and pasting please use the **exact unit** codes shown in the "go to..." lists on the funding claim form e.g NVQ unit HSC415 will need to be typed as HSC415 (NVQ), include spaces and brackets.

Step 6. Please enter unit codes for the same candidate across the claim form starting at column F. If more units are being claimed for that candidate than there are columns on that row, please begin a new line when required and continue. Once the unit code has been pasted/entered **the value of the unit** will be automatically calculated and entered into column O (Total amount being claimed), please do not attempt to amend. (see appendix 3 for example)

Step 7. Once all the candidates and information has been entered please click validate unit code button, this will check that the codes are compatible with our system. If the codes are incorrect they will be shown in red on the claim form, please check codes against our "go to..." list and make the necessary amendments.

Step 8. The lead partner must sign and date all printed claim forms (hard copies) submitted to SFC. The administrator may be given authorisation to sign and date claim forms however this must have been previously agreed in writing between the lead partner and SFC.

See appendix 3 for an example of how the completed claim form should look.

Compiling your claim

Once you have filled out the claim form and it has been printed and signed it is time to put the batch together. Please place the required evidence e.g the unit summary sheets in the **order** that they appear on the claim form, with the claim form at the front.

When you are satisfied that the claim is ready to be posted please complete the WDF submission cover form (see appendix 4). Ensure that you include contract number, Partnership name, number of units, value of claim and number of claim forms. Please use one cover form per envelope if the claim will be posted using more than one.

Please do not send in claims smaller than 25 units or bigger than 250 units.

In addition to the hard copy of the claim please email the completed electronic claim forms to your contracts officer for processing.

If the above steps are not accurately followed and this results in an incorrect or incomplete claim forms being submitted this could result in delays in the claiming process or the entire claim being returned.

Once the hard copy of the claim is received by SFC you will receive an acknowledgment letter via email receipting its arrival. Please let us know if you do not receive this within a reasonable time, allowing for standard delivery times, as we do not accept responsibility for claims that become misplaced in the mailing process.

Skills for Care will endeavour to process all **correctly compiled** claims and issue payments within 30 working days of receipt. During busy periods in particular around milestone dates, please allow for the full working dates.

Useful Links

For general guidance and WDF forms www.skillsforcare.org.uk

For more information on NMDS-SC and where to go to register or update your data www.nmds-sc-online.org.uk

For more information on the Learner Record Service www.learningrecordsservice.org.uk

Appendices
Appendix 1.
WDF Partnership Membership Form

Partnership Form WDF 2011-12

To be completed by each member of the partnership Print Form
 NMDS-SC Ref No: D123456

Your Organisation Name (NMDS-SC Reg Name) Rose Garden Care Home

Your Contact Name Ann Other Number of Employees in your Organisation 35

Name of partnership you are joining (Please note that you can only claim funding through one partnership) Adult Social Care Partnership

Your NMDS-SC Registered Address

Rose House, High Street

Town Leeds City Leeds

Post Code LS1 1LP

Phone No 0113 1234567 Fax No 0113 1234567

email _____

If your contact details are different from above please provide your details below

Town _____ City _____

Post Code _____

Phone No _____ Fax No _____

email _____

Members Declaration

My organisation/business is a member of this partnership and we are happy for the Lead Partner to sign the proposal on our behalf.

- > I understand that the Skills for Care funding is a **Contribution** towards the cost of individuals in my organisation achieving relevant adult units of competence and that I cannot use this source of funding if they are eligible for funding through other sources
- > I understand that I have a responsibility to inform the Lead Partner of Adult Units achieved and any relevant evidence / information that they need to maintain financial probity and a clear audit trail on funding spent
- > I understand that I am only able to claim for volunteers and/or staff working within this organisation
- > I understand that I must keep a clear audit trail of the funding received from Skills for Care
- > I understand that I will need to ensure that I have fully completed and/or updated the required NMDS-SC data within the previous 12 months of any claim submitted
- > I understand that I can only claim this funding through one partnership and any attempt to claim through more than one partnership may result in my being disqualified from any future funding

Ann Other _____ Home Manager _____

Name (Please Print) _____ Position in Organisation _____

A other _____ Date _____

Signature _____

Please make sure that the address is the one they have registered on the NMDS-SC account that correlates to this NMDS-SC number (circled)

Appendix 2
Unit Summary Sheet

Workforce Development Funding 2011/12

QCF UNIT SUMMARY SHEET

Unit Code: SHC 52 Unit Name: Promote professional development

In accordance with list of acceptable SFC funded units.

Elements: 1.1-1.4 understand principles of professional development
 2.1-2.2 be able to prioritise goals and targets for own professional development
 3.1-3.3 be able to prepare a professional development plan
 4.1-4.4 be able to improve performance through reflective practice

No of Credits: 4

Competence has been demonstrated in all the elements of this unit through the agreed assessment procedures

Position	Name (Block Capitals)	Signature	Date
Internal Verifier	John Smith	<i>John Smith</i>	14/02/11
Assessor	Sarah Jones	<i>Sarah Jones</i>	14/02/11

Please use the **exact** unit codes listed in the claim form. In this example SHC 52 should be listed on the claim form as SHC52 (without a space)

Internal verifier and assessor date between 1st Jan 2011 – 16th March 2011

Name of Awarding Body: OCR

I am satisfied with the way the assessment(s) was conducted and with its outcome

Given Name*	Family Name*	Candidate Registration/Enrolment Number	Signature	Date
<u>Ann</u>	<u>Sample</u>	<u>SFC123468</u>		

10 digit Unique Learner No (ULN)* OPTIONAL
1234567891

Please use name registered with the Learner Record Service and type the exact name on the claim form if using the ULN number

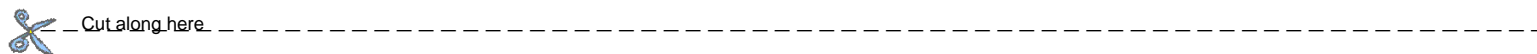
- As per registered with the Learner Record Service

Updated by Contracts Unit 2/0/11

WDF Evidence submission form

Contract number	NAT-WDF-00 (11/12)
Partnership name	Social Care Partnership
Number of units	120
Value of Claim	£1,500.00
Number of Claim forms	2

Please print and fill out a WDF submission form per claim/envelope. If you prefer to use your own cover letter please ensure that the all above information is included.



Appendix 5

Scenario 1

It's the 29th March 2011 and a **new** establishment, Skills for Care Leeds, wants to join your partnership and become a member. They have 20 employees and they created their NMDS number on the 12th Feb 2011, they completed all the organisational record section but only fully completed 10 individual worker records which meant that only 50% of the total workforce records were complete.

In this example, Skills for Care Leeds is not eligible, why?

Only 50% of the total workforce records were complete, 90% is required and do not forget the partnership membership form, the establishment is new to your partnership so we will require them to fill in the partnership form.

After consultation with the NMDS-SC help desk Skills for Care Leeds manages to fully complete their individual worker records, surpassing the 90% required. They are now **NMDS-SC** eligible. But they still can not claim WDF, Why?

A partnership membership form has yet to reach us, please bare in mind that the NMDS-SC database is separate from the WDF systems so without notification from you WDF systems can not add establishments. A partnership membership form is then supplied to us and added to your partnership. Skills for Care Leeds are now ready to Claim WDF.

Scenario 2

It's the 13th September 2011, the establishment Adult Social Care Leeds has previously claimed this year under your contract so they must have met NMDS-SC eligibility and submitted a partnership membership form. They are aware that their NMDS-SC eligibility is due to expire on the 30th September so they update their individual worker records included in the 90% calculations in advance for their workforce in preparation.

But on the claim form sent to you in October they're still not showing on your drop down list therefore they are now not NMDS-SC/WDF eligible, why?

Not only do they have to update their individual worker records for 90% or more of their workforce they also have to update their **organisational** records.

After consultation with the NMDS-SC help desk Adult Social Care Leeds update their Organisational records so have now regained NMDS-SC eligibility. As they have already completed a partnership membership form, another form is not required. However please note that if the member had claimed this year under a different partnership/contract they would then need a partnership form to register with yourselves.

It is important to note that in both examples is it imperative that as soon as you notice that an establishment is not showing on your claim form that you confirm with the member that they have completed all the **WDF requirements** for the current funding year. The following checklist could help you establish the reason that they are not appearing -

Have they submitted a **WDF 2011/12** partnership form?

Have they fully completed/updated 90% or more of their individual records?

Have they fully completed/updated their organisational records?

If they confirm that they have please communicate this with the contracts unit, please note that If a establishment calls the helpdesk asking if their NMDS-SC number is now eligible they can be told yes however this does not automatically mean that they are WDF eligible.

