



Leading learning and skills

Provider Financial Assurance

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Objectives



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We are going to provide an over-view of:

- **Themes & trends arising from PFA audits:**
 - TTG
 - WBL
 - Skills for Life
- **Summary of new DLF guidance 08/09**
- **Questions**

Themes/trends from PFA Audits (2)



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TTG

- No justification/evidence to support high rate band
- No documented initial assessment, or, insufficient to support higher rate
- Ineligible learners arising from prior attainment:
 - no record of prior qualifications on the ILP
 - grades not recorded
 - all qualifications not recorded
 - no evidence for prior attainment exempting learners for part of L2 e.g. C&G part 1 & 2 used as equiv to units towards an NVQ 2
- Lack of evidence of start activity (not now req'd)
- Lack of evidence of high rate hours at completion
- No evidence to support high band achievements

Themes/trends from PFA Audits (3)



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TTG cont'd

- Control issues:
 - Poor claims checking and control processes
 - No subcontracting agreement
 - Lack of monitoring of sub contracted provision
 - Misinterpretation of requirements for funding

Themes/trends from PFA Audits (4)



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WBL

- No evidence supporting:
 - framework achievements at time of claiming
 - progress towards subsidiary learning aims (tech cert/key skills)
 - ALSN support
- Withdrawal date inconsistent with last in-learning/ progression date
- Reduction in Main Aim value due to prior learning or achievement
- Initial assessment:
 - no evidence of IAG delivery
 - no records of prior experience and learning
 - exemption rules for key skills not applied
 - prior learning not adjusted on the ILR
 - advanced apprenticeships not adjusted for prior completion of an Apprenticeship

Themes/trends from PFA Audits (5)



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WBL contd

- Training Provider Statement:

- no evidence to support the claims
- E2E Bonuses claimed at the wrong rate
- No supporting documentation/evidence of incurred expenditure

Themes/trends from PFA Audits (6)



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Participation in learning (WBL/TTG)

- Late registration with awarding body
- Poor completion of timesheets to support :
 - EMA & expenses payment
 - validation of underpinning knowledge
- Learners not reviewed against all elements of their programme (SFL, ALN, Tech Certs, Key Skills, NVQ)
- No evidence of progression after initial start up

Summary of new DLF guidance 08/09 - ILR Funding Compliance Advice & Audit Guidance for Providers - Annex B



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Eligibility/Flexibilities

- Additional level 2 and 3s through sector compacts (SEMTA)
- Additional level 2s through sector qualification strategies
- 2nd level 2s through local employment partnerships
- From Jan 08 – self employed and volunteers
- Level 3 entitlement extended to 19 – 25 learners
- Skills for Life – open to anyone with a need



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Summary of new DLF guidance 08/09 - ILR Funding Compliance Advice & Audit Guidance for Providers - Annex B (2)

Funding

- Funding payments methodology that links payments to on-going learning and training activity
- 75% on programme payments
- 25% achievement

High band funding

- Reduced from 20 - 15 hours
- Support/learning/training
- Excludes induction, IAG and initial assessment. (Refer to table 7 in)

Principles, Rules and Regulations

Summary of new DLF guidance 08/09 - ILR Funding Compliance Advice & Audit Guidance for Providers - Annex B (3)



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Participation on the programme

- Evidence learner making progress
- Evidence supporting actions taken when lack of progress
- Evidence of participation within the last 12 weeks
- Progress reviews
- Short courses

Audit Landscape



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Changes to the LSC audit approaches

- FFE
- Funding audit
- Provider and National DSATs

Questions?



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