

## TRAIN TO GAIN

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How to achieve a  
satisfactory audit opinion

# Read the guidance!

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- Principles, Rules and Regulations – version 3
- ILR Funding Compliance Advice and Audit Guidance for Provider – version 2
- Additional Flexibilities 08/09 – version 3
- Priority Qualifications identified for level 2 repeats
- Learner Eligibility Guidance
- Provider Support Manual



# Eligibility

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- Flexibilities
- Self Declaration
- Residency
- Contract of employment
- Volunteers
- Self employed
- Welsh and scottish learners
- Skills for life



# Higher rate learners

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- The threshold has been reduced from 20 to 15 hours of underpinning knowledge and understanding (UPK). This includes carry over learners
- Table 7 on page 114 of Principles, Rules and Regulations indicates those activities that can and can't be included
- Providers should document their intention to deliver a minimum of 15 hours of UPK (examples to be discussed)
- Providers should keep records of time spent with learners to demonstrate more than 15 hours of UPK for higher rate achievements



# Participation

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- Para 17 and 18 in Annex B of ILR Funding Compliance
- Copy of ILP
- Evidence that the learner is working or making progress towards continued structured learning. Where progress is not being made, evidence to support the actions taken to address this
- Evidence of participation within the last 12 weeks. Regular progress reviews
- Evidence that the learner is registered for the NVQ



# Withdrawals

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- Should be the last date of continued and structured learning (review, assessment, attendance)
- This should be the date recorded on the ILR
- There should be a written notice of termination



# Audits

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- Test eligibility, participation and achievement
- Audit opinions for use of funds and internal control
- What is a funding error and the 5% materiality limit
- Extrapolation and subsequent actions
- Audit report and internal control development plan



# File checklist

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- Include all the key processes expected for funding and provider's own documents. Initialled and dated for each process
- Start – ILR, induction, self dec, initial assessment (occupational and basic skills), ILP, intention of higher rate (if approp), IAG, registration for NVQ
- Participation – reviews, IAG
- Withdrawals – ILR, evidence of achievement, time spent
- Monitoring of sub-contractors



# DSATs

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- Data Self Assessment Toolkits (DSATs) – being updated at the end of October for employer responsiveness
- Contractual 07/08 to run DSATs through your data on a regular basis
- Suite of reports on LSC website
- Discuss examples



# Questions

