

Avoiding the pitfalls of audit

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Learning & skills ~ events,
consultancy and training

Avoiding the pitfalls of audit

Rule 1: Understand the types of data quality

Rule 2: Do not only prepare for audit

Rule 3: Maintain data quality all the time

Rule 4: Know what is important for you

**Rule 5: Ensure SMT and Governors understand
how important you are**

**Rule 6: Rule 5 keeps us all in a job and the
college out of trouble 😊**

Data quality

Important to understand the types of data quality

Validity (LIS error reports)

Credibility (LIS warning reports, DSATs, Ofsted, ILR FAQs)

Completeness (Data Dashboards and Annex P thresholds)

Timeliness (ILR Hard Closes and new ER reports)

Also understand that ILR data should not always be accurate.....

e.g. The learning aim is what was planned, not what was actually achieved.

It's not only the funding auditor

Skills Funding Agency Account Manager

Ofsted (Jo Parkman)

Local Authority & YPLA (soon to be EFA)

The learners (see Personal Learning Record)

And of course your college (LR01 withdrawals...)

P.S. Framework for Excellence results published publically next week

Employer Responsive Timeliness Reports

Ellie Fraizer, Data Quality & Assurance Manager

7th December 2010

Funding Audit Masterclass, Lakeside Centre - Birmingham



web: www.thedataservice.org.uk

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ER Timeliness Reports

- Why they are being introduced
- How they are being calculated
- A look at the reports
- When and where they will be available

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ER Timeliness Reports – Why



- Skills Funding Agency Guidance Note 3
 - Need to set timeliness standards for efficient and transparent financial reconciliation for Employer Responsive funding
 - All starts must be reported within 2 reporting months
 - All achievements and leavers/withdrawals must be reported within 3 reporting months

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ER Timeliness Reports – How



- EXAMPLE
 - For a learner starting an aim in month X, a record for that start must be included in the return at the end of month X+1 (at the latest)
 - Learner starts on 1st September 2010. This must be reported for the first time in the return for September (ER02) or October 2010 (ER03). That is, at the latest, in the return that closes on 4th November 2010 (ER03)

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ER Timeliness Reports – How



- Reflections on methodology
 - Matching: No unique reference for matching aims (A05 cannot be used). Aims treated as the same if they have a common:
 - Provider Number (L01)
 - Learner Reference Number (L03)
 - Learning Aim Reference (A09)
 - Learning Aim Start Date (A27)
- Consistent with methodology used for matching aims in TTG success rates

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ER Timeliness Reports – How



- Reflections on methodology
 - Instances where a single learner has more than one aim with same Learning Aim Reference (A09) and Learning Start Date (A27) are treated as a single aim
 - Changes in A09, A27 and A40 will not be factored into the calculation
 - Late accredited aims may be flagged as a late start
 - Methodology and coding included in zip file

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ER Timeliness Reports – When & Where



- Released 1st December!
- Provider Gateway Document Exchange
 - Provider Data Quality Reports, DQ-ER folder
- Report enquiries (methodology etc) and Gateway/Doc X access issues, please contact the Service Desk:
servicedesk@thedata-service.org.uk

web: www.thedata-service.org.uk

Service Desk tel: 0870 267 0001

Maintain data quality all the time

It is no longer advisable to wait until the end of the year before cleaning the data prior to audit

- ~ Monthly ER timeliness report
- ~ Ofsted only need to give 2 weeks notice
- ~ Monitoring performance in-year (all the time) is a great way to drive up efficiencies

Do you need to pay for internal auditors, and where you do are you being honest (and are they any good)?

What's most important to you?

Are all 66 DSAT reports critical to you?

Biggest potential pitfalls

- ~ Unlisted functional skills (incl. embedding)
- ~ Use of the A51a discount field (esp. construction)
- ~ Eligibility for FL2 and FL3 entitlement
- ~ Transfers and learning aim changes
- ~ Guided Learning Hours (incl. listed aims)

Note: If there has been an error it is ok to change it at any time

SFA Policy Statement highlights how important you are

Higher Risk Providers & Persons and Agency Contracting (03/11/10)

“a small number of providers have tarnished this otherwise positive relationship, and have achieved financial gain at the expense of both learners and the public purse, whether through ignorance or design.”

Additional criteria for rejection of providers

“previous activities that have resulted in significant repayment of funding (£100k or more)”

“two or more instances where the Agency's staff have audited the provision of the bidder and identified significant concerns resulting in a qualified opinion”

ACTOR helps implement this



Nationally produced ILR audit reports

- ~ LIS errors
- ~ LIS warnings
- ~ OLDC validation (ULN and Employer Identifier)
- ~ DSAT reports
- ~ Data Credibility and Completeness (Dashboards, Annex P thresholds)
- ~ ER Timeliness

Other ILR audit tools

- ~ SCORE and ADaM
- ~ Your own system validations and reports

School 6th forms don't know how lucky they are!

School Success Rates

YPLA have recently published school success rates following an FoI request from a journalist

23% unknown outcomes for Academies

16% unknown outcomes for School 6th Forms

In total 160,000 exams taken where the outcomes were unknown

Always nice to end a seminar on a high (AKA feeling smug!)

Any questions?

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