

MANAGEMENT INFORMATION SYSTEMS AND AUDITING MANUAL

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RELATED DOCUMENTS

Student Policies found on <https://resources.elatt.org.uk/>

In Particular :

Admissions Policy <https://resources.elatt.org.uk/elatt-handbook/17-students/elatt-admissions-policy.pdf>

English and Maths Policy <https://resources.elatt.org.uk/elatt-handbook/17-students/elatt-english-maths-policy.pdf>

Student Disciplinary Procedure <https://resources.elatt.org.uk/elatt-handbook/17-students/elatt-student-disciplinary-procedure.pdf>

Attendance and Punctuality Policy https://resources.elatt.org.uk/elatt-handbook/17-students/elatt-attendance_punctuality_policy.pdf

IAG Statement <https://resources.elatt.org.uk/elatt-handbook/17-students/elatt-iag-service-statement.pdf>

Data Protection Policy <https://resources.elatt.org.uk/elatt-handbook/8-data-protection/elatt-data-protection-policy-records-management.pdf>

INTRODUCTION

This manual sets out all the procedures relating to the recruitment, enrolment and progress of students at ELATT.

It describes all the documentation and record keeping that is required for efficient administration and to meet the requirements of the funders.

Staff required to follow these procedures are all ELATT staff and subcontracting organisations' staff, in particular all teaching staff; the IAG staff; the administrative support staff; the Head of MIS, Marketing Team and the Curriculum Managers.

All personal data is protected as per Data Protection Policy

<https://resources.elatt.org.uk/elatt-handbook/8-data-protection/elatt-data-protection-policy-records-management.pdf>

RESPONSE TO ENQUIRIES

All students apply for ELATT's courses by filling in an on-line application form via ELATT's website on <https://www.elatt.org.uk/courses>. All enquirers are given a telephone appointment by an Information Advice and Guidance (IAG) and general assessments. Some students might be asked to come to ELATT premises instead (if they have special educational needs or similar). Student data entered on ELATT's website is automatically populated in ELATT's student database ProSolution by Sequel scripts (the exception being ESOL Open days when Students are asked to fill in their own application forms with a help of an interpreter or tutor).

INTERVIEW

During the interview the IAG member of staff should:

- ensure that all sections in the application form have been completed - eligibility to study, gender, date of birth, ethnicity, passport numbers, length of time unemployed, disability, targets, objectives etc.
- Make a note on the application form, at section in Employment, of the type of benefits an applicant is receiving and whether he/she is a refugee/asylum seeker.
- Take copies of all the benefits, certificates of previous achievements and foreign passports with section on visa details and enclose in the electronic student file if the students have not already attached these documents with their digital application.
- All data should be entered directly into ProSolution database, upon the completion and signed and dated both by the student and the interviewer.
- No dates are allowed to be amended at any stage – students should fill in a new continuation form if they are continuing in the new academic year
- A written record, in standard format, is kept of the reasons for the decision and signed by both interviewers in the ProSolution. These reasons must be objective. Unsuccessful applicants can request a copy of the record under data protection legislation.

All ELATT's files should be

- reviewed by ELATT's management before sending them out to the auditors. ELATT's management also performs sample checks for each ILR submission
- IAG team/Tutors should record their findings about an applicant in ProSolution. This applies both to ELATT's Students and any subcontracting organisations.
- ELATT' files and Subcontracting organisation files should be regularly audited by ELATT's compliance administrators (every 6 - 12 weeks) and details of reports kept in auditing electronic file or E-mail correspondence.
- All follow up actions should be audited by ELATT's managers as well. ELATT's managers reserve the right not to authorise payments to subcontractors in case funder's due diligence is not met.

SELECTION

On the basis of the interview prospective students are either recommended to join a course or rejected.

Of those who have been recommended, the course tutor and IAG person selects 15 applicants and 3 reserves. These are entered as 'recommended' in Waiting list courses in the ProSolution database.

If a Vocational applicant needs basic skills training (improving their English and Mathematics) they are referred to the Skills for Life Team.

The successful applicants are sent offer emails and texts, requested to confirm their acceptance and notified of the induction date.
Rejected applicants' forms must be given to the administration team for electronic filing.

ENTRY PROCEDURES

Those applicants who accept their offer must then attend induction and comply with the entry procedures before they embark on their course. Admin/IAG Team will normally ask the students to produce evidence of their address just before the course starts as these evidences cannot be more that 3 months old (for GLA contract).

DESCRIPTION OF INDUCTION WEEK AND NECESSARY PAPERWORK

Course tutors are provided with a list of expected students prior to the induction day.

On the first day of induction the students are provided with an electronic induction pack, which consists of the following:

- induction timetable
- course outline
- course timetable
- term dates
- learning agreement
- ILP form
- student e handbook which explains who the funders are (ESFA, GLA, Amif, UK

- Border Agency, Learning Trust)
- guidelines on computer software use at ELATT
- software information
- network induction documents
- sensitive information form and procedure for return in confidence
- ELATT code of conduct
- Health & Safety booklet – HSE publication
- VDU booklet – HSE publication
- ILP form

The contents of induction vary, depending on the nature of a course taken. All the students should be informed who is funding their course (ESFA, GLA, AMIF, UK Border Agency, Learning Trust, etc.) and the induction paperwork should contain appropriate funder logos.

The course tutors must ensure that they go through and explain the learning agreements, initial ILPs to the students as well as inform finance department to attend induction session and explain travel and childcare benefits. They must complete initial ILPs with the students and ensure that the students understand the contents. The tutors/admin must also complete checklists for each student. The same applies to the ILR forms: Students must complete all the missing information during their induction. It is both administrative and tutorial responsibility to ensure that all fields are completed: Students must have:

- name
- surname,
- correct Address,
- DOB
- ethnicity

filled in and the form must be signed and dated by Students (If there are any fields missing, Students should be contacted immediately. Admin team can be asked to pre-fill forms if the application forms were available in advance but they still need to be signed and dated by Students). The data on the digital application forms must match data in the ProSolution database that is submitted to the funders. MIS compliance administrator double-checks all the paperwork before adding students to the funders lists (ILR or similar)

Section 3 of the ILR forms has to be filled in for early leavers who did not achieve qualifications by admin department.

Tutors must inform administration department if a course has any embedded basic skills like English, Numeracy or Employability. It is MIS administration department responsibility to fill in Additional Aims ILR form reflecting any basic skills, employability as well as mainstream aim objective. Administration should fill in these ILR forms on ProSolution and generate quality check files using FIS and PDSAT. Head of MIS must check these files before each submission and inform Management of the ILR performance against targets. Please check the ProSolution Manuals here [Pro Training](#)



Manuals Someone independent of the preparer should check all ILRs, ie Head of MIS, Curriculum Managers. Email evidence should be kept of any requested changes.

The tutors must ensure that all digitally signed ILPs agreements and any induction paperwork should be forwarded to administration department for filing. **Administration department will ensure that student checklist has been completed upon the course start and end. These checklists are further sampled and evidenced by Head of MIS. ELATT's MIS Team will only process and claim the payments from the funders for fully compliant files.**

The ILPs and training agreements are auditable documents. Please refer to statement above on auditable documents.

Every student who needs financial or welfare help then has a meeting with the finance officer and/or the Employability Officer/Welfare Office to discuss their travel and/or childcare entitlements/Welfare issues. The amount of entitlements agreed is entered in the students' file with ELATT. All allowances will be paid every 2 weeks.

STUDENTS INDUCTION WEEK ASSESSMENTS

Once the assessments have been processed the relevant tutors must pass the results to the administration assistants to record into ProSolution the students level of IT and basic skills on entry onto the programme.

ON COURSE DATA ENTRY AND MONITORING

ATTENDANCE

Once students have embarked on course their attendance will be recorded on electronic registers by the tutor conducting the lessons for each class they attend separately. Each course should have only 1 IT register – both for lessons conducted on-line, at Kingsland Road and one for those taking place at other sites. There are separate attendance registers for English, Maths and ESOL classes as students from all IT courses attend these courses separately. It is tutors responsibility to fill in registers promptly during/after each session. SMS messages are automatically sent to all learners who missed the classes by the MIS System Prosolution. For 16-19 olds SMS non-attendance messages are also sent to their parents/careres. MIS System Prosolution also copies the relevant staff on all class attendance which is further analysed by all the departments on a weekly basis, monthly basis by ELATT management and termly basis by Board of Trustees.

Additional Learning Needs (ALS)

Additional learning needs periods will be recorded separately on Additional learning needs in e format signed and dated both by Tutors and Students with the explanation of what topics have been covered. Admin team should periodically reconcile students recorded in receipt of ALS with the ProSolution ILRs ensuring that ILR is accurate (start and end date of ALS) and complete. Admin/ Management should also ensure that a comprehensive ALS assessment of need and supporting plan of delivery is kept on student files for auditing purposes.

Weekly signing in sheets, for every course attended in person listing all students on course, are positioned at the reception desks at all sites for Health and Safety purposes. Students are required to sign in and out each day that they attend by noting the times and adding their signatures in case of fire or similar.

The registers and signing in sheets are auditable documents.

WITHDRAWAL FROM COURSE

If students are absent for more than two consecutive days without authorisation (unauthorised absence: UA) the course tutor or IAG advisor should telephone/email the student to find out why they have not attended. If they cannot reach the student, they should try to telephone emergency contact provided in students application forms.

If there is no satisfactory explanation, or the persons cannot be reached, then the standard letter (AB1) should be dispatched.

The letter also contains a first stage disciplinary warning because the contract states that after two consecutive days of unexplained absence a formal warning will be issued. If there is no response wait for one training week and send the second letter (AB2).

Copies of these letters should be kept in the students' files.

If there is still no response or the student states that they do not wish to continue with the course, the tutor should complete a Withdrawal From Course Form stating the reason for the withdrawal. **End date on the withdrawal form must be the last date when the student have attended the course.** It is important to note that the last date of a telephone contact cannot be counted as an end date.

This form must be given to the Administration Department who enters the student as a 'withdrawal' on the database and fills in the necessary ILR fields. This terminates the students contract and is important as an audit document. It should be kept on students files for auditing purposes.

COMPLETERS

Upon the completion of a course, tutors/managers must inform admin department which students have successfully completed a course and it is admin responsibility to fill in Section 3 of the ILR. The detailed instruction on how to complete Students on ProSolution can be found here [PROCESS FOR COMPLETERS1_GT\[1\].doc](#)

QUALIFICATION OUTCOMES

Students sit exams for the various full qualification and qualification modules throughout the length of the courses as and when they are ready. Exam results for every module taken are entered on the database once the certificates and confirmation records have been received from the examining boards.

Photocopies of all certificates are made and placed in the students' files as well as given to the funding bodies, if required. The originals are given directly to the students on course, posted to them by recorded delivery if they cannot attend to collect them in person or presented to them at the end of course graduation ceremony. Students are

asked to sign and date the copies of the original certificates collected at ELATT reception.

The records of the results from the examination boards are filed in chronological order in the Examination Results File in the Administration office. ELATT pays for the costs of only one certificate per each learning aim. If the students have lost it, they should pay the costs to the examining bodies for issuing duplicates.

The copies of the certificates and the examination board records are auditable documents. Please refer to statement above on auditable documents.

INTERNAL AUDITING OF ADULT SINGLE BUDGET/16-19 OLDS CONTRACTS

Completers - must have full packs inclusive of certificates and feedback forms.

- Students in learning (without an end date) - must have:
- eligibility,
- start up paperwork (Electronic Application forms signed and dated, assessment sheets etc) and a few progress reviews (depending how long they have been on programme, they must have a progress review at least every 10 weeks, if they have been on programme for 3 - 6 months only, then they should have progress review at least once every 4 weeks - it is better if they have more regular progress reviews.

Regular reviews are an important part of the learning process. Students must be reviewed at least every 6 weeks. For students where the duration of training is short the provider must take this into account when planning reviews, as the 6 week cycle of review may not be appropriate.

Reviews must be recorded and documents signed by at least the student and the reviewer. However, it is good practice that the reviews are also checked by a manager, such as a manager or supervisor with responsibility for the student or during the class observation.

The frequency of reviews must be adjusted to reflect the risks of the student leaving early or not achieving.

The Review must:

- reflect on progress towards the learning goals
- reflect on Personal Learning and Thinking skills – especially for younger students
- review changes to the ILP
- set realistic but challenging and measurable targets to be achieved before the next review.

Implication

On programme payments maybe claimed without sufficient attendance records to support these claims and funding may be at risk.

Where students have signed up to do more than one learning aim - we must have separate progress reviews on all those aims (auditors are very adamant about literacy/numeracy/functional skills progress reviews missing - it is not enough to have

only progress reviews on Main Vocational qualifications - literacy/numeracy/functional skills progress reviews must be filed on student files for auditing purposes).

The other things that auditors are quite meticulous about are attendancy sheets. End date for withdrawals and completers on ILR must match end date in ProSolution and the attendancy records.

WORK PLACEMENTS (FOR SOME OF THE CONTRACTS – NOT ALL)

ELATT staff ascertains the employers' requirements for personnel. A brief job description is drawn up and the work placement vacancies/employers' details are emailed to the relevant tutors on ELATT's classes, for all students who are interested in either internal or external placement. **ELATT cannot guarantee to be able to find work placements for all students. Students are also encouraged to use their own initiative to obtain work placements through their own networking.**

Students at ELATT meet the Work Placement/IAG Officer at the beginning of their course during Induction Week and regularly throughout the course. If a student needs to talk to the placement officer outside these designated times, they can make an appointment to discuss placements or any other issues. Students are given a placement pack, which includes:

- Welcome letter outlining how placements are organised,
- work placement request sheet,
- CV template and
- Interview preparation guidelines.

The Work Placement /IAG Officer then assist the students to prepare their CVs in line with these requirements. The CVs are then forwarded to the employers and they liaise with the ELATT staff or students directly to arrange interviews. Once an interview has been secured the IAG staff assists the students to prepare for it by developing confidence, composure and attitude.

The Work Placement/IAG Officer arranges a courtesy visit with the employers or an online meeting. This also serves as an opportunity to conduct the necessary Health & Safety checks before students can be committed to work in the premises or remotely. As far as possible the officer also ascertains that adequate levels of supervision can be given without disrupting the smooth running of the organisation.

Once work placements have been secured, packs are sent to the employers via emails. This contains the necessary forms associated with the placement and are as follows:

- covering letter
- aims and objectives of the work experience programme
- placement information sheet
- terms and conditions
- placement provider's agreement (to be returned as soon as possible)
- student's health and safety induction checklist (to be completed with the line manager and returned at the beginning of the placement)
- end of placement report (to be completed by the line manager and returned at

- the conclusion of the placement)
- weekly attendance sheets (to be completed by the student, signed by the line manager and returned to the Data Manager at the end of each week.

The work placement section of the learning agreement detailing the student's placement must be completed by The Work Placement/IAG Officer for each student and filed in the student's file.

Throughout the placement The Work Placement/IAG Officer maintains close contact with both the students and the employers. This helps to address any problems, which either party may have encountered and promotes a positive working alliance between ELATT and employers.

The students' work placement example: 3 days per week on work placement for 4-6 weeks. At the end of each week they must complete a work placement timesheet and have it duly signed by their work placement supervisor. These time sheets are given to The Work Placement/IAG Officer on Fridays to check and pass to the administration assistants who will enter the attendance on the database. The placement time sheets must be filed in the students' files. These time sheets are auditable documents. Please refer to statement above on auditable documents.

ELATT staff must obtain employer reference numbers, DBS clearance, full employer address and contact as well as confirm the work placement duration.

Each student should ensure to have a correct number of hours spent on work placements and tasks covered.

If a student does not submit a timesheet the Work Placement/IAG Officer will contact him/her in order to ascertain the reason. It is important that students attend work placements punctually and regularly in order to achieve beneficial experience and promote the acceptance of further students at that organisation. If there are problems with the placement and/or the student's attendance, The Work Placement/IAG Officer will seek to redress them and will make a note in the student's file.

PROGRESSION OUTCOMES

When the IAG Officer learns of a progression outcome i.e. employment, further education or other, they complete the progression outcome form, enters the outcome details in the database and files the form in the student's file.

Students are provided with the incentive of a £50 bonus award
<https://elatt.org.uk/component/quix/341-assessments-job-bonus-form>

when they notify ELATT that they have secured employment and provide a letter/contract of employment from their employer with the details for the progression form (students must report about their employment within 6 months upon the completion of their course in order to receive £50 bonus).

APPENDICES

ProSolution tutorials for:

- Administrators on how to process student registrations, achievements, work placements, jobs etc. available in hard copies as well electronic copies under [Pro Training Manuals](#)
- Tutors work – in students files
- Management - to monitor contracts performances, generate reports - available in hard copies as well electronic copies under Q:\Contract Management\ESFA_GLA\
- Work placement/IAG officers – to record student placements and jobs - available in student files as well electronic copies in ProSolution