

Data Management and Internal Audit Policy and Procedure

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Contents

Section	Section Title	Page Number
1	Scope	3
2	Purpose	3
3	Roles and Responsibilities	3
4	Internal Audit Procedure	4

1. Scope

This policy and procedure applies to data management and internal audit of all information held on file to ensure that any information submitted to claim funding is accurate and held securely.

2. Purpose

The purpose of this policy and procedure is to ensure that internal audits of any information held for students to support funding claims is accurate and supported with evidence. Along with setting out a plan for Internal Audits to take place at regular intervals throughout every contract year.

3. Roles and Responsibilities

The Head of Centre will be responsible for:

- Ensuring that all staff completing the evidence pack for every student is fully trained on the funding rules
- Ensuring that any staff responsible for inputting student information into a system to support a funding claim are trained on the funding rules
- Setting out an Audit Plan for the year
- Conducting Audits in line with the plan and producing corrective action plans where required
- Providing an audit report to the Managing Directors annually

The Administration Manager will be responsible for:

- Ensuring the administration team input data accurately and in a timely manner by regularly running validation reports and cross-checking student evidence packs against the data inputted by the team
- Liaising with staff to rectify any errors found on paperwork submitted for inputting
- Acting on any corrective actions because of an internal audit

Delivery Staff are responsible for:

- Ensuring they fully understand evidence requirements to support funding claims
- Completing the enrolment process accurately

Administration Staff are responsible for:

- Ensuring they fully understand ILR requirements
- Checking student evidence packs to ensure that all data required to submit funding claims has been gathered accurately
- Liaise with individual members of staff to rectify any errors found on

- paperwork in a timely manner and therefore reducing any funding errors
- Accurately inputting student data onto the system

4. Internal Audit Procedure

- Internal audits will be scheduled regularly throughout each contract year
- Each Internal Audit will be completed using an audit checklist
- A report and any corrective actions arising from the audit will be compiled in an audit report and relevant managers will be provided with the report and an initial meeting will take place
- A follow up meeting will be planned to depend on timeframes agreed during the initial audit feedback meeting
- All internal audits that take place will be recorded on the Internal Audit Plan
- Annual Internal Audit Reports will be submitted to the Managing Directors