

	<p>Policy Number: PP-CD- 03</p> <p>Version: 1</p> <p>Issue Date: April 2016</p> <p>Review Date: April 2018</p>
<p>Policy title: Management of Data and Information Policy</p>	
<p>Policy author:</p>	<p>Heath Rawles</p>
<p>Policy Owner:</p>	<p>Heath Rawles</p>
<p>Impact assessment status:</p>	<p><input type="checkbox"/> Full impact assessment required</p>
<p>Approved by: SLT</p>	<p>Date: April 2016</p>
<p>If you need help reading this document, or require it in a different format, please call 01794 523857</p> <p>Chief Executive Officer: Elizabeth Young</p>	
	

1. Introduction

In order to monitor its work effectively and in line with SFA and other governing bodies requirements, FNTC must maintain a database of learner and employer information from recruitment to completion and retain such records for as long as appropriate. The data required will change in response external requirements and therefore will have a dynamic nature. This procedure will be revised only when significant changes are introduced.

FNTC will use this policy as a prescription for the application of best practices in the gathering, maintaining and reporting of data in respect of learners previously or currently in training, and of the employers used as placements for those learners.

2. Scope

MIS and information of all learner data is important for all departments in FNTC with examples including:

SLT – Reports such as Contract report, scorecard, QIP etc
Admin – registration, attendance reports
Accounts - financial contract report
Curriculum - Success rate reports, caseloads, attendance reports,

3. Objectives

To maintain all databases, whether hard copy or electronic, in an accurate and consistent format.

To provide a flow of information to FNTC staff to assist them in carrying out their jobs and to provide a tool for management decision making.

To secure and use information in line with procedures and legislative requirements

4. Responsibilities

Please see Appendix 2 – Delegation of Authority for a detailed list of responsibility for learner data on PICs

CD – responsible for all learner data including data entry and deletions
MIS – responsible for all learner entry onto live PICs and authority to edit and read all aspects of learner database (PICs) and CRM except deletion of students
Coordinators – Responsible for informing MIS to carry out tasks related to learner journey including starts, early leavers and completions. Coordinators are not allowed to edit learner information on PICs.
BD - viewing rights for PICs. Editing rights in CRM and also application system
DTLAQ - responsible for suspensions of learners and early leavers. Ultimately responsible for learner completions

5. Procedure

This procedure prescribes the practice to be applied in managing all aspects of information from and about learners and employers. These practices are described in the sections identified below and where appropriate in the appendices to this document.

A. Use and Maintenance of PICS

PICs (Provider Integrated Client System) is the Prime Management Information system (MIS) to be used for FNTC's management information. For this reason, it is essential that data is kept up to date and that any and all changes, to any learner or employer information or circumstances are relayed to the MIS team.

Particular attention shall be given to the following elements

- i. Any Accredited Prior Learning (APL) which has been recognised by the assessor shall be noted on the ILP. Exemptions shall be applied only after copies of certificates are provided.
- ii. All prospective learners shall undertake a skills assessment, this alone will establish if level 2 learners are recognised for Learner Support Funding (LSF). This funding is exceptionally available for statemented level 3 learners

The entry of data to PICS is the responsibility of the MIS team, other than as shown in the delegated authority schedule in Appendix A.

The prime source of data will be the Individual Learner Record (ILR) completed at the commencement of each course and sent to MIS for entry to PICS

Changes to Data

All requests for a change shall be in writing using the PICS form and submitted to MIS.

All changes to data held on PICS will be subject to the delegated level of authority in Appendix D.

Changes to any details in respect of the employer, contact name, number etc. may be submitted by Email to MIS, MIS will reply when the change has been input.

Reports

MIS will prepare the reports as and when requested as well as set reports such as the SLT report. Where possible, these standard reports should be used. If a recurring

new need arises, the user should discuss with MIS the option of amending an existing report to meet the new need. Appendix B highlights a Glossary of terms and acronyms used and Appendix C lists the common reports generated by MIS.

B. Data Protection

The nature of the information held on PICS is inherently confidential and shall not be disclosed or be made available outside FNTC or to unauthorised employees of FNTC. PICS shall be password protected and access granted only to those employees having need. Any information on personal or shared computer systems shall include only such information as is necessary to carry out their job. Passwords will be changed at each centre meeting.

6. Communication

Once approved this policy and procedure will be shared via all staff email and stored in [Cross Centre\Policies and Procedures](#) . The policy and procedure will be discussed at team meetings as well as being added to the office files for all staff to have reference.

7. Monitoring and Evaluation

All procedures listed in this Policy will be reviewed on an annual basis.

Reports produced by the MIS team on a monthly basis will be presented at the monthly SLT meetings. Data produced will be monitored against the SFA paperwork including the Employer Responsive Performance Report (EYPR). Financial monitoring will also be analysed against the Provider Financial Report (PFR).

8. Associated information, Guidance and related Policies

- Health and Safety PP-CD-01/02
- Accounts policy and procedure PP-CD-04
- Marking and feedback policy and procedures PP-DTLAQ-14
- Examinations Policy and Procedure PP OM 05
- Acceptable use of information and communications technologies policy PP OM 06

Appendix A – Delegation of Authority

Area/Item	Assessor	BD/ Admin	CC	DTLAQ	MIS	CD
1.PICS						
New Learner Approval	X (i)	X (i)	X (i)	Xa		
New Learner Data Entry					X	Xa
Early leaver Deletion						X
Completion	X (i)		X (i)	X (i)(ii)		
Learner Data Changes	X (i)		X (i)a			
New Employer Approval		X				Xa
Learner Suspension				X		Xa

- Key
- X Approval/action level
 - (i) All identified need to approve
 - a Alternative approval/action level
 - (ii) Functional Skills Manager

Appendix B – Glossary of Terms

AAP	Advanced Apprenticeship
AB	Awarding Body
APP	Apprenticeship
APL	Accredited Prior Learning
ALN	Additional Learning Needs
ALS	Additional Learning Support
AMA	Advanced Modern Apprenticeship
AON	Application Of Number (Key Skill)
ARR	Apprenticeship Regional Response
ASL	Adult Safeguarded Learning
ASN	Additional Social Needs
BA	Business Admin
BD	Business Development
BSA	Basic Skills Analysis
CACHE	Council for Awards in Childcare, Health & Education
CCCLD	Certificate in Children’s Care, Learning & Development
CCE	Certificate in Childcare & Education
CCLD	Children’s Care, Learning & Development
CD	Contracts Director
CM	Centre Manager
CMI	Chartered Management Institute
COMM	Communication (Key Skill)
Co-Ord	IV Co-Ordinator
CS	Customer Service
CWDC	Children Workforce Development Council
CYPW	Children and Young People’s Workforce
C&G	City & Guilds
EDI	Educational Development International
EDS	Employer Database System
EFA	Education Funding Authority
EMA	Education Maintenance Allowance
ER	Employer Responsive
ERR	Employment Rights and Responsibilities
ESF	European Social Fund
EV	External Verifier
E2E	Entry to Employment
FE	Further Education
FED	Funding End Date
FF	Full Framework
FIDN	Fawley Independent Day Nursery
FLT	Foundation Learning Tier
FNTC	Fawley Nursery Training Centre
HE	Higher Education
H&S	Health & Safety
H&SC	Health & Social Care

IAG	Information Advice and Guidance
ICS	Institute of Customer Service
ILP	Individual Learning Plan
ILR	Individual Learning Record
IOW	Isle Of Wight
IV	Internal Verifier
KU	Knowledge and Understanding
LAD	Learning Aim Database
LIS	Learner Information Suite
LIT	Literacy (Skills for Life)
LR	Learner Responsive
LRS	Learner Registration/Record Service
LSC	Learning Skills Council
LSF	Learner Support Fund
MSC	Management Skills Council
MIS	Management Information Systems
MTA	Minimum Training Allowance
NUM	Numeracy (Skills for Life)
NVQ	National Vocational Qualification
OCR	Oxford Cambridge RSA examinations
PAP	Pre Apprenticeship Programme
PC	Performance Criteria
PI	Performance Indicators
PICS	Providers Integrated Clients System
PLA	Programme Led Apprenticeship
PRV	Private
QA	Qualified Assessor
QAR	Qualification Achievement Rate
QCF	Qualifications and Credit Frameworks
SAR	Self Assessment Report
SFA	Skills Funding Agency
SFL	Skills For Life
STL	Supporting Teaching and Learning
T2G	Train To Gain
TA	Teaching Assistant
TL	Team Leading
UKPRN	UK Provider Reference Number
ULN	Unique Learner Number
YPLA	Young People's Learning Agency

Appendix C: Common Reports Generated by MIS

SLT Performance Reports – Scorecard/KPIs

CMT Performance Reports

SAR Performance Tables

Skills Performance Report

Income Forecasts

Recruitment Analysis

E & D Reports

Caseloads

Audit Reports

Certification Data Reports

Assessment Progress Reports

DSAT Reports

Risk Reports

Framework Hub Maintenance

Examination Hub Maintenance

Contact Hours Report


Registration and Claims Reports

Age Grant Report

Initial Equality Impact Assessment	
Audit Prompt	Response
Name of document: Management of Data and Information Policy	
Author of document: Heath Rawles	
Initial screening questions	
1. What is the aim or purpose of the document?	The aim of this policy is to ensure that data and other management information is accurate and secure
2. Who is affected by the document? <ul style="list-style-type: none"> • Staff • Learners (please indicate which groups) • Members of the general public (please specify who) 	All stakeholders including <ol style="list-style-type: none"> 1. Staff 2. Learners 3. Partners
3. Has anyone complained about the document? (if yes, give details)	No
4. Does the document have the potential to cause adverse impact or discriminate against different groups of people?	No
5. Does the document make a positive contribution to equality & diversity in the Centre?	Yes

A full impact assessment will be needed if this initial screening reveals an adverse impact, or potential for adverse impact on people with protected characteristics.

Refer to full Impact Assessment (Yes/No) and reasons why	
If yes, Priority Level (High, Medium, Low)	

Signed:  Name: Heath Rawles Contracts Director Date: 23 05 2016