

**PROVIDER ANNUAL CERTIFICATE OF ASSURANCE (Mandatory Document)**

**Provider Name:**

*[Insert full name of contractor as stated in the contract (“Provider”)]*

On behalf of Provider:-

1. I hereby confirm that I am, and the Provider is aware that the Provider must ensure that all claims submitted to The Skills Development Scotland Co. Limited (“SDS”) pursuant to the Provider Contract(s) for the provision of Modern Apprenticeship and/or Employability Fund and/or Work Able services (as applicable) must fully comply with the respective (NTP) Programme Rules.
2. I confirm that the Provider has good practice management arrangements and controls in place designed to ensure that:

		Yes/No/N/A
1	All of the Provider’s staff involved with the (NTP) Programme(s) are aware of all of the (NTP) Programme requirements.	
2	The Provider promptly identifies and discloses to SDS any actual or potential conflict of interest.	
3	There is clear segregation of duties that provide a check that (NTP) Programme Rules are followed.	
4	All participants are eligible for the (NTP) Programme.	
5	All documentary evidence required to demonstrate Provider’s full compliance with the (NTP) Programme Rules is held by the Provider <b>prior to claiming funds</b> from SDS and all claims are made within the specified time restrictions. All evidence is retained for review by SDS (see attached for evidence required to support claims).	
6	The CTS/FIPS information on participants and Employers/Placement Providers is accurate with adjustments made within one week of any change with details of participants’ employment status directly notified to SDS. Information on CTS/FIPS will include (without limitation) Start/Leaver details; participant contact telephone number; employment status; Employer/Placement Provider details.	
7	The Individual Training Plan/Action Plan for each participant on the (NTP) Programme reflects the qualification recorded on CTS/FIPS and details timescales for review in line with (NTP) Programme Rules.	
8	For early leavers, relevant VQ Awarding Body records are accurately updated with achievements to date, and within the required timescales.	
9	All programme information including participant and employer/placement provider data is stored in accordance with all applicable data protection legislation and requirements.	

Insert Details Below

I draw your attention to the following matters which should be considered as they may have resulted/could result in invalid claims being submitted by Provider to SDS.

Declaration: To be signed by SDS Contract Signatory (or equivalent)

- I will ensure that SDS is informed of any changes to these management arrangements and controls by writing to the designated SDS Contract Manager within 10 working days of each such change.
- In addition, I will notify SDS immediately where there are, in my opinion, significant matters arising including without limitation any key staff changes or other changes to Provider’s business environment, which would reasonably require to be taken into account by SDS when considering any Provider claim.
- I confirm that Provider will only submit claims to SDS that fully comply with the (NTP) Programme Rules.

NAME (print):

JOB TITLE (print)

SIGNATURE:

DATE:

## (NTP) Programme Rules

### Evidence Required to Support Claims

NTP Programme Rules reference  
MA EF Work Able

Please note that these references may change if changes are made to the rules, and are therefore indicative only

1	Completed participant Training Agreement (TA) including Information Exchange and Co-operation Statement, and participant and Provider eligibility declarations.	2.3	6.2	8.5
2	Fully completed Eligibility Confirmation (for EF) or Referral (for Work Able).	n/a	4.3	7
3	Completed Individual Training Plan (for EF) or Action Plan (for Work Able).	2.2	5	10
4	Registration where relevant with the VQ Awarding Bodies and Sector Skill Council.	2.4	n/a	n/a
5	For Milestone Claims based on Statement of Achievement Records (SoARs), that SoARs have been fully completed and agree with progress recorded in participant portfolios, appropriately authorised, with all signatures validated by Provider.	3.2	n/a	n/a
6	For Milestone claims based on participant Reviews, that participant Reviews are conducted in accordance with agreed Payment Plans, appropriately authorised, with all signatures validated by Provider.	3.2	n/a	n/a
7	For MA claims for output funding, evidence from the Sector Skills Council/Body that the MA has been achieved as well as evidence from the Awarding Body that the related VQ has been achieved.	4	n/a	n/a
8	For EF Outcome/Output Claims and Work Able Outcome Claims, required evidence for participants is held.	n/a	8	18
9	For Travel Claims – evidence that the most cost effective method of travel is used and that SDS authorisation is obtained for travel expenses in excess of £50 per week.	3.5	7.5	n/a
10	For lodgings claims – evidence that prior written approval has been provided by SDS and each claim is authorised by the Provider.	3.4	7.6	n/a
11	For Young Person's Allowance – evidence that Provider has taken into account age, employment status and benefits received.	n/a	7.1	n/a

Source 2017/18 NTP MA, EF and Work Able Programme Rules

(NB The above table of evidence does not restrict the need to hold additional information that may be referenced in the Programme Rules.