ESF Audit Evidence Requirements – Modern Apprenticeships
<table>
<thead>
<tr>
<th>Date</th>
<th>Issue</th>
<th>Status</th>
<th>Author</th>
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<tbody>
<tr>
<td>20/06/2019</td>
<td>1</td>
<td>Final</td>
<td>Ann Keegan</td>
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<tr>
<td>08/10/2019</td>
<td>2</td>
<td>Final</td>
<td>Ann Keegan</td>
<td>Advice added for gathering trainee personal information.</td>
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<td>Proof of address evidence list updated – Driving License no longer</td>
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<td>required to be dated within 6 months of registration.</td>
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<td>FIPS upload instruction added.</td>
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<td>Emailing evidence and password protecting documents.</td>
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<tr>
<td>29/10/19</td>
<td>3</td>
<td>Final</td>
<td>Lou Donnelly</td>
<td>Published on SDS Web pages</td>
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</table>
List of Audit Evidence Requirements

Modern Apprenticeship (MA) Trainee Evidence Requirements:

*TO NOTE* - it is recommended that trainees provide a copy of evidence for each requirement (education level, address, DOB) that contains the least amount of additional, unneeded information.

This helps SDS and the Training Provider ensure that they are not collecting and processing personal information that is not needed for our purposes, which would therefore reduce the Data Protection risk (of holding onto personal information that we do not require).

We have underlined and *starred* the pieces of evidence we’d recommend the trainee provides for each requirement.

For instances whereby the trainee cannot provide one of the recommended pieces of evidence, they should redact any personal data, special category data or financial data that isn’t required in order to evidence the mandatory data requirements (proof of education level, proof of address, proof of DOB).

1. Mandatory (Required for all trainees)
   - Signed training agreement
   - A completed Individual Training Plan
   - A completed copy of Appendix 5 of the Programme Rules - Participant and Provider Declaration
   - Proof of education level on entry to programme – only one of the following needed
     a) *Extract from SQA connect however you should ensure that the SQA logo or URL is visible to verify authenticity*
     b) *Confirmation from the awarding body*
   - Proof of address - (must be dated within the previous 6 months of the date of registration) – only one of the following needed:
     a) Utility Bill
     b) Bank or Credit Card Statement
     c) Council Tax Bill
     d) Official correspondence e.g. DWP, NHS, HRMC
     e) NHS Medical Card
     f) *Extract from SQA connect however, you should ensure that the SQA logo or URL is visible to verify authenticity*
     g) *Driving License (Full or Provisional)* – as this is a legal document that must be kept up-to-date, there is no requirement for the driving license to have been issued / dated within six months of registration.
   - Proof of date of birth: - only one of the following needed
     a) Birth Certificate
     b) *Driving License (Full or Provisional)*
     c) UK (or other EU member State) Passport – must be valid and unexpired
d) National Insurance Number e.g. NI Card, correspondence from HMRC / DWP / Jobcentre Plus / Pension Service, contract of employment, wage slip
e) National Identity Card
f) Proof of Age Card that includes the PASS hologram or has been issued by a government agency/statutory body e.g. Young Scot Card, Citizens Card.
g) "Extract from SQA connect however, you should ensure that the SQA logo or URL is visible to verify authenticity"

All mandatory evidence should be uploaded against an individual’s ‘start payment’ in FIPS. This doesn’t need to be password protected as FIPS is a secure system. Where no start has been claimed, please email your evidence directly to the ESF Team – mas@sds.co.uk. Please ensure you password protect the document. To prevent any exchange of passwords, we would request that you use your MA 19/20 contract password. If you do not know what this password is, please email the ESF Team for further guidance.

2. Milestone Payments
   • For every milestone claim - a signed (in advance of the claim by both the assessor & trainee) record of progress, summary of achievement record (SOAR), or quarterly progress review (whichever is appropriate)
   • Evidence of registration with the Sector Skills Council (SSC)
   and
   • Evidence of registration with the Qualification Awarding Body (QAB)
   (MA registrations need only be uploaded once)

Milestone evidence should be uploaded against the corresponding ‘milestone payment’ in FIPS. Please **DO NOT** bulk upload evidence against one milestone. Bulk uploads will not be accepted. If you are experiencing issues with uploading evidence against individual milestone payment, please contact the ESF Team at the following email address – mas@sds.co.uk. One of the ESF Verification Executives will respond as quickly as possible.

SSC and QAB registration evidence should be uploaded to the first milestone payment from the agreed payment plan in FIPS.

3. MA Outcome (All Levels)
   • A copy of final certification or confirmation from the Awarding Body
   or
   • Extract from SQA connect however, you should ensure that the SQA logo or URL is visible to verify authenticity.

Outcome evidence should be uploaded against the ‘outcome payment’ in FIPS.