

Subcontracting Procedure

Definition of a subcontractor

A subcontractor is a separate legal entity that has a contractual agreement with Middlesbrough College to deliver any element of the education and training the college receives funding for. This would include self-employed individuals or those supplied by an employment agency, unless those individuals were working under the direct control and direction of the college in the same way as the college's own employees, in which case they would not be a subcontractor under this definition.

All subcontractors must undergo an extensive due diligence process before being approved by the college as a subcontractor.

Responsibility for the management and monitoring of subcontract arrangements rests with the Adult and Community Learning team, and the Senior Responsible Officer for subcontracting is the Assistant Principal Adult and Community Learning, who reports performance through the College's Adult Education Budget Meetings and via reporting at each Corporate Services and Governing Body meeting.

Any subcontractor funded directly by the ESFA must have a valid UK Provider Registration Number.

Middlesbrough College are responsible for all the actions of the delivery subcontractors and partners connected to, or arising out of the delivery of the services which they subcontract

Why would we subcontract?

All delivery subcontracting would be done to meet the strategic aims of the college, and to enhance the range and quality of the learning offered as a whole.

All proposed subcontracts should be developed following completion of an internal business case, which should be approved by the College's Corporate Services Committee (Either as part of annual budget planning or through a mid- year update)

The business case should confirm that the proposed arrangement meets at least one of the following aims:

- enhances the opportunities available for learners
- fills gaps in niche or expert provision or provides better access to training facilities
- supports better geographical access for learners
- offers an entry point for disadvantaged groups; or
- gives consideration of the impact on individuals with shared protected characteristics, where there might otherwise be gaps

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Where similar provision is delivered year-on year a review of the existing business case should be undertaken each year to ensure that the aims continue to be met and confirm that the provision should be continued.

The form of business case is included at Appendix 4

Subcontractor Procurement Strategy

As soon as the College identifies a potential subcontracting requirement, an initial discussion will take place between the Adult & Community Learning Team and College Procurement Manager, concerning proposed provision, programmes, sector areas etc in order to determine the College's procurement approach. This should take place as soon as possible to ensure that a compliant procurement process is undertaken. The agreed procurement approach should be documented, along with the reasoning for it.

For every new contract (typically annual) regardless of whether the subcontractor is new to the College, the Procurement Manager should confirm that the proposed procurement process is compliant with the College's Scheme of Financial Management and Control as well as [Public Procurement Regulations](#) (principally the Public Contracts Regulations 2015), Section 2.2 of the [College financial handbook](#), and in the case of and provision directly funded by DfE/ESFA, procurement should comply with the [ESFA Subcontracting Standard](#) (in particular the provisions of Section 1)

In respect of the ESFA Subcontracting Standard, the College will define "entering a subcontract arrangement" as any new contract. In particular, continuation of existing delivery under a new annual contract would constitute entering into a subcontract arrangement.

Regardless of the procurement approach the College will produce a detailed scope for the subcontracting arrangement based on the requirements of the Business Case.

This will include:

- Specific details of the provision that will be subcontracted listing key factors relevant to the procurement including (but not limited to) full details of the qualifications and/or services delivered, delivery targets including volumes, required quality outcomes, and geographic parameters.
- A consideration of how the scope of delivery complies with relevant funding rules and if relevant the ESFA subcontracting standard.

Typically the procurement of a subcontractor will be a single stage Tender process which ensures that the partner has the capacity capability, expertise and financial standing to deliver the subcontract on behalf of the College and that the arrangement delivers values for money. The process will usually, have the following core elements and will be led by the Procurement Manager with technical input provided by the Adult and Community Learning team:

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- **Publication/ sharing of specification** – A procurement specification will be drafted based on the detailed scope that can be published/shared with potential subcontractors in order for them to consider whether they wish to bid. The specification will detail all of the information needed from potential bidders in order for their bid to be considered. This will include a “selection questionnaire” (See below) alongside further tailored information needed for the College to assess the subcontractor’s bid which will cover key aspects of delivery including pricing, track record, ability to deliver, and evidence of delivery quality. A checklist of potential scoring criteria for specification development is included at Appendix 3. The specification will also clearly state the necessary response timescales and how the College intends to score any responses to the specification.
- **Pre-Qualification** – All procurement processes will include a selection questionnaire which will gather the necessary information from suppliers in order to initially assess their suitability and filter out any unsuitable bidders. This will include a number of pass/fail questions which will exclude any potential suppliers that do not provide the required information or fail on mandatory exclusion criteria. An example of the College’s current standard selection questionnaire is included at Appendix 5. The selection questionnaire can be tailored to add additional information in specific circumstances, but we would not expect tailoring to remove any core requirements.
- **Qualification** – All selection questionnaires returned in the agreed timescales will be reviewed by the Procurement Manager and where relevant in consultation with the Associate Director of Business Development and Subcontracting and other managers as required. Following this review a short list of potential subcontractors will be taken forward in the procurement process to full bid assessment. Any bidders that are unsuccessful at this stage will be notified.
- **Full bid review** – Those potential subcontractors that progress to full bid assessment will be scored against the remaining criteria set in the specification. Before any subcontract arrangement is entered into the subcontractor must meet the standard required under the College’s due diligence process (See below). Depending on the structure of the procurement this information may be collected and scored as part of the full tender review or completed following the tender process as a condition precedent to contracting.

The College recognises that procurement approaches need to be tailored based on circumstances and desired outcomes and the procurement process may not always align specifically with the distinct elements outlined above.

For example, into the future the College may wish to take an approach of identifying a pool of approved subcontractors and call off delivery based upon future requirements, or there may be circumstances where the College bids for funding in partnership with a potential subcontractor due to a lack of specific expertise or at the request of a key stakeholder such as a Combined Authority in a devolved delivery region.

In these circumstances the tailored procurement approach should be developed in conjunction with the Procurement Manager, any process should align as far as

Subcontracting Procedure

possible with the core principals outlined above (i.e. specification design, pre-qualification, and full review) with due consideration to, and in compliance with, the regulations and sector guidance detailed above.

Where a material deviation is made from the standard approach approval should be sought from the Vice Principal Finance and Registry subject to confirmation of compliance from the Procurement Manager.

Form or contract

The College will use a standard contract template for its subcontract activity which will be tailored in respect of any proposed subcontracts. Contracts will initially be tailored by the Assistant Principal Adult and Community Learning and reviewed by the Vice Principal Finance and Registry prior to publication or issue.

Where necessary the Vice principal Finance and registry will consider whether it is appropriate to take expert commercial/legal advice on the terms and structure of the contract both in general and in relation to specific contract requirements.

Minimum due diligence requirements

The following “due diligence” review process must be completed to the College’s satisfaction either as part of the procurement process or as a condition precedent to entering into a subcontract.

Prior to the full due diligence process commencing, the last three years of accounts will be requested and reviewed by the Vice Principal – Finance & Registry. If the accounts provide the required financial assurance, then the full due diligence process will commence.

1. Due Diligence Process and Responsibilities

The Due Diligence checklist and requirements are issued to the potential subcontractor, who then collates and submits the required information back to the Associate Director of Business Development and Subcontracting. Upon receipt, all information is checked, and relevant policies are referred to internal subject matter experts to formally review & approve the supporting evidence.

- Associate Director of Business Development and Subcontracting
- Issuing due diligence and co-ordinating its return from the potential subcontractor
- Oversight & progress chasing for approvals from internal subject matter experts
- Co-ordination & completion of process
- Completion of recommendation to proceed/withdraw

The following job holders are responsible for reviewing the policies listed under their role:

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Vice Principal Finance and Registry

- Accounts
- Insurance
- Details of subcontracts held over the last three years
- Planned delivery schedule
- Completion of recommendation to proceed/withdraw

Vice Principal Quality and Performance

- Data Protection policy
- Appeals policy
- Complaints policy
- OTLA policy
- Equality policy and implementation plan
- Ofsted Reports
- EV Reports
- Course Information
- Staff CVs and competence
- Staff Training

Vice Principal Student Services

- Safeguarding policy
- Prevent policy
- Prevent duty risk assessment and plan

Executive Director Human Resources

- DBS Numbers for all staff and volunteers

Executive Director Digital and Campus services

- IT policy
- Sustainability policy and implementation plan
- Health and Safety policy
- Health and Safety Vetting policy
- Health and Safety site visit

Once the due diligence process is complete a recommendation is made by the Associate Director of Business Development and Subcontracting for consideration by the Principalship as to whether all requirements have been met. The Principalship will then decide if the organisation is to become a subcontractor. The recommendations made to Principalship should be documented by utilising Appendix 1 and providing a summary of the findings of the Due Diligence process including the recommendation to proceed or not.

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The Associate Director of Business Development and Subcontracting will inform the organisation if the decision is negative.

If the decision is positive, further discussions will be held with the subcontractor to agree the funding allocation, learner numbers and programmes to be delivered.

Governing body approval will be gained for the provider to become a new subcontractor.

The provider's details will be added to the Colleges subcontractor return by the Executive Director of Policy, Funding & Management Information and submitted to the ESFA.

The contract and schedule will be set up by the Associate Director of Business Development and Subcontracting and the Executive Director of Policy, Funding & Management Information (1 copy for the Subcontractor and 1 copy for the College). Both copies will be signed and dated by the Principal and subcontractor. The College copy will be held in the Finance Office, Dock Street, Middlesbrough. The other to be retained by the Subcontractor.

Preparation for subcontracting prior to the beginning of the academic year:

- Planning of subcontracting will begin in April/May. The Associate Director of Business Development and Subcontracting will review requirements and determine whether a new subcontracting business case is needed and/or whether there is a recommendation for existing subcontracted provision to continue.
- If a new subcontract arrangement is required (any new contract) the. The Associate Director of Business Development and Subcontracting will engage with the Procurement Manager around developing procurement specifications and Tender processes
- As part of the tender process the likely scoring criteria for potential bidders will be considered drawing from Appendix 3 where relevant
 - The Tender specification (if necessary) proposed contract and business case will be reviewed by senior management and presented to attendees of the Adult Education Budget meeting for approval before release
- Following completion of the procurement/ award process a list of potential subcontractors is presented to Governors for their approval in July prior to the new academic year.
- The ESFA subcontractor return completed by the Executive Director of Policy, Funding & Management Information and sent to the ESFA as required.
- Training is available for subcontractors. Updates delivered on enrolment procedures, funding, teaching and learning, quality, ALS, WFD and Equality and Diversity. It should be noted that Safeguarding and Prevent training is mandatory.

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The College must publish its supply – chain fees and charges policy on the College website before entering into any subcontracting agreements for an academic year. The College must also publish their subcontracting payments and management fees policy on the College website. Associate Director of Business Development and Subcontracting will co-ordinate and complete this ready for approval & publishing.

2. Delivery Monitoring

Contract Schedules

- Meetings held with subcontractors and schedules finalised by the Executive Director of Policy, Funding & Management Information in August/September.
- 2 copies of Schedules signed by Principal/Chief Executive and sent to subcontractors for signing. One copy retained by subcontractor, one copy returned to College and kept in the finance office.

Delivery Preparation/Procedures

- Course file for each subcontractor set up by the Head of Registry at beginning of new Academic Year.
- Course labels printed and issued to subcontractors along with current enrolment forms.
- Completed enrolment forms returned within one calendar month of completion to the Projects Manager and registry staff who check all forms before inputting onto the College system (Pro Solution).
- Pro-Solution data printed out and checked with subcontractors by Projects Manager as appropriate.
- Withdrawals, transfers, and achievements will be logged and inputted onto Pro-Solution by the Projects Manager and registry staff.
- Registers and contact logs are returned monthly by providers to the Projects Manager as required.

Where subcontractors wish to make interim claims, invoices are sent to the finance team. These are approved by the Executive Director of Policy, Funding & Management Information and then signed by the Associate Director of Business Development and Subcontracting before being returned to Finance for payment. Copies are kept by the finance team.

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Contract Meetings

Regular meetings held between individual subcontractors and subcontracting team throughout the year to discuss:

- a. Recruitment and Induction
- b. Learner progress and attendance
- c. Early leavers/retention
- d. Examinations/certification
- e. Learner feedback/complaints
- f. Observations/teaching, learning and assessment
- g. Compliance and internal/external audit activity
- h. Quality of development plans
- i. Claims and finance
- j. System and security
- k. Staff/staff training needs
- l. Equality and diversity, safeguarding, prevent and health and safety
- m. Comments, compliments and complaints
- n. Achievement rates performance across all funding streams
- o. Financial performance against profile and expectations

Audits

- Monthly data checks to be completed with subcontractors by the Projects Manager.
- On-site audit Schedule to include announced and unannounced audits which are set by the Associate Director of Business Development and Subcontracting, with reference to completed annual risk assessments.
- Onsite audit visits carried out as per schedule. Reports and action plans are completed with a copy forwarded to the partner after the visit. Returned action plans logged and monitored by the Quality Department to ensure the actions are followed up accordingly. See audit visit checklist in appendix 2.
- Subcontractors are informed by either telephone or email two days prior to announced audits.

Departmental Review

- Annual departmental reviews of the provision will be completed by the College teaching and learning mentor team. Two days' notice will be given to subcontractors. Accurate timetables must be provided by subcontractors upon request.

3 Review

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- Any outstanding achievement is followed up by the Projects Manager using Pro-Achieve information. As achievement is received by the Projects Manager and registry team it is logged and input onto the College system.
- Once all achievement is on the system, a reconciliation spreadsheet is updated by the Executive Director of Policy, Funding & Management Information. Associate Director of Business Development and Subcontracting writes to subcontractors identifying the reconciliation figure for the year. If subcontractors are in agreement, they then invoice the College for the relevant amount. Associate Director of Business Development and Subcontracting approves and signs the invoice and forwards to finance for payment. A copy of the invoice is kept in the appropriate provider file.
- Core due diligence documents from each subcontractor to be reviewed.

The actual end of year supply – chain fees and charges, when confirmed, must be published on the College website along with the Sub-Contracting Payments and Management Fees Policy

Subcontracted Learners are entitled to all support and guidance services offered by the College. They are Middlesbrough College Learners and are subject to the same College Policies and Procedures as any other learner.

This Procedure is in line with current ESFA Funding Rules.

4- Performance reporting governance and change management

Subcontractor performance will be monitored by nominated members of the College Management Team as part of the monthly Adult Education Budget meeting agenda. Typically this meeting will be chaired by the Principal/CEO and attended by the Vice Principal Finance and Registry, Executive Director of Policy funding and Management information and the Assistant Principal Adult and Community Learning alongside other managers as required

The meeting agenda will consider subcontractor performance (financial and quality), highlight any potential concerns, and determine appropriate courses of action including any contractual adjustments that may be necessary.


A further report on subcontractor performance will also be presented at each Corporate Services and Governing body meeting and approval for material contract changes will be sought from governors as part of this process.

Where contract changes are made as a result of this process (for instance to, price, value, service levels etc) these amendments will be made to the contract schedules by the Adult and Community learning Team under the supervision of the Assistant Principal Adult and Community Learning.

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Revised to contracts will be reviewed and approved by the Vice Principal Finance and registry before they are issued.

Appendix 1

Middlesbrough College Due Diligence Checklist																				
Once completed this template and supporting documents should be submitted electronically to the Contracts team: contracts@mbro.ac.uk																				
<div> <div> 1. Company Details </div> <div> <div>Company name:</div> <div>Is your organisation registered on The UK Register of Learning Providers?</div> <div>UKPRN Number:</div> <div>Is your organisation on the Register of Apprenticeship Training Providers (ROTAP)?</div> <div> ROTAP check to be completed by Middlesbrough College: Staff name: Date completed: </div> <div> Companies House Check to be completed by Middlesbrough College: Staff name: Date Completed: Company registration number: VAT registration number: Address: Website: </div> <div> Trading Status: <table border="1"> <thead> <tr> <th></th> <th>Please select</th> </tr> </thead> <tbody> <tr><td>a) public limited company</td><td></td></tr> <tr><td>b) private limited company</td><td></td></tr> <tr><td>c) limited liability partnership</td><td></td></tr> <tr><td>d) other partnership</td><td></td></tr> <tr><td>e) sole trader</td><td></td></tr> <tr><td>f) third sector</td><td></td></tr> <tr><td>g) other (please specify your trading status)</td><td></td></tr> <tr><td></td><td></td></tr> </tbody> </table> </div> </div> </div> <div>  </div>				Please select	a) public limited company		b) private limited company		c) limited liability partnership		d) other partnership		e) sole trader		f) third sector		g) other (please specify your trading status)			
	Please select																			
a) public limited company																				
b) private limited company																				
c) limited liability partnership																				
d) other partnership																				
e) sole trader																				
f) third sector																				
g) other (please specify your trading status)																				
2. Contact Details																				
List all directors and contact details: Please note, you must notify us of any director changes in-year.																				
Name of directors / senior managers	Position in company																			
Phone / mobile / fax numbers	Email addresses																			
Conflict of Interest consideration/check to be completed by Middlesbrough College: Staff name: Date Completed: There has been no change in directorships during the year and no conflict of interest identified between the directors and Middlesbrough College																				
List all senior managers and contact details:	Position in company																			
3. Supporting Information																				
For all options where a ✓ is required supporting evidence is needed																				
Company Information	✓	Comments																		
Organisation structure	✓																			
2 signed references from suppliers / partners supplied on referee's official letter headed paper																				

Details of contracts currently held with the Skills Funding Agency					No direct contract held with the SFA			
Details of subcontracts held over the last three years								
Prime Contractor	Contract Type and Value	Start Date	End Date	Starts (Target Numbers)	Starts (% of target achieved)	Job %	Outputs (Target)	Sector Skills areas delivered
Finance				✓	Comments			
Last 3 years audited accounts								
Please indicate your turnover and profit for the last three years of trading								
Year	2019/20	2020/21			2021/22			
Turnover (£)								
Profit (£)								
Company Policies				✓	Date of next review	Comments		
Health and Safety policy								
Vetting Policy (if applicable)								
Equality policy and Implementation Plan								
Safeguarding Policy								
Prevent Policy (prevent policy can be included within a Safeguarding Policy)								
Prevent Duty Risk Assessment and Action Plan								
Staff and student policies on the use of IT equipment referenced to the Prevent Duty								
Sustainability Policy and Implementation Plan								
Appeals Procedure								
Complaints Procedure (including managing whistleblowing)								
Data Protection								
Observation of Teaching, Learning and Assessment Policy								
Disclosure Process								
Reports/Inspections				✓	Comments			
External verification reports / grades								
I.V strategy / procedures								
Any inspection reports (e.g. Ofsted)								
Any quality marks (e.g. Matrix)								
Self-assessment reports								
Success / retention / achievement rates for the last 3 years								
Insurance (Supply copies of certificates)				✓	Value (£)	Date of expiry		
Employers Liability								
Public Liability								
Professional Liability								
Health and Safety				Yes/No	Comments			
Have you received any enforcement notices or convictions in the last 5 years?								

Any reportable injuries, diseases or dangerous occurrences covered by RIDDOR regulations over the last 3 years?		
If yes to both questions above, what actions were implemented to prevent reoccurrences		
Safeguarding and Prevent		
<p>Statutory guidance – designated leads should have more training than the rest of the staff and be specific to their role as lead. <i>All organisations should have an appropriate senior member of staff appointed to the role of Designated Safeguarding Lead who takes lead responsibility for safeguarding.</i></p> <p><i>The lead and any deputies should undergo training to provide them with the knowledge and skills required to carry out the role. The training should be updated every two years. In addition to the formal training, knowledge and skills should be updated regularly, but at least annually, to keep up with any developments relevant to their role. (Bulletins, latest guidance and development, external networks etc.)</i></p>		
Name of designated Safeguarding Lead		
List training/qualifications of Safeguarding Lead		
Name of Designated Safeguarding Lead and identified single point of contact (SPOC) in relation to Prevent		
List training/qualifications of single point of contact		
Capacity and Readiness		
Provide details of your capacity and readiness to deliver and outline planned delivery		
Geographical Delivery Area		
Describe the geographical area in which you are able to deliver		
Course Details	✓	Comments
Marketing literature		
Qualifications to be delivered		
Current awarding body approvals		
Information, advice and guidance		
Induction paperwork		
Individual learning plans		
Scheme of work		
Delivery models		
Assessment methods		
Observation of assessors / trainers		
Student Awareness		
Outline your process for making students aware of Safeguarding and Prevent (including British Values).		
Staff	✓	Comments
Attach CV's and qualification certificates for all staff who will be involved with delivery		
Staff Names	Proposed Delivery Programmes	
Staff Training – Safeguarding Training		

Staff Names	Date Completed	Comments
Staff Training - Prevent (including British Values) and Channel Online Certificate Training		
Staff Names	Date Completed	Comments
DBS – evidence of an enhanced DBS certificate, which includes barred list information, for those staff and volunteers who are engaging in regulated activity. For teaching staff, an additional check to ensure they are not prohibited from teaching.		
Staff/ Volunteer Name ✓ (copies of enhanced certificates must be provided)	DBS Number	Date of Issue
4. Declaration checklist		
Questions	Yes/No	Comments
Does your organisation utilise an MIS system to manage and track learner information? If yes, which system do you use?		
Have any of the persons been subject to bankruptcy proceedings or been involved in an organisation which has been subject to liquidation proceedings or had receivers appointed? If yes, please give details.		
Have any persons been convicted of any criminal offence, apart from minor traffic offences? If yes, please give details.		
Is your organisation a member of a group of companies? If yes give the name and address of the holding company		
If your organisation is a member of a group of companies, will the holding company guarantee your performance of the contract?		
Has your organisation, or any of your proposed partners, ever had a contract terminated or your employment terminated under the terms of that contract? If yes, please give details.		

Has your organisation, or any of your proposed partners, not had a contract renewed for failure to perform to the terms of a contract? If yes, please give details.		
Has your organisation, or proposed partners, ever suffered a deduction for liquidated and ascertained damages in respect of any contract within the last 3 years? If yes please give details.		
If your organisation's accounts and annual reports are consolidated into those of your parent company or group, then for each of the last two years please provide for your organisation, your organisation's turnover, profit before tax and net assets.		
Are there any outstanding claims or litigation against your organisation with regard to systems and / or service delivery? If yes, please give details.		
Has your organisation or proposed partners or any employee within these organisations who would be working on this contract, committed a criminal offence relating to the conduct of your business or profession? If so please provide details.		
Is your organisation or are your proposed partners currently involved with any legal proceedings (including arbitration) with any other organisations including local authorities? If so please provide details.		
Equal Opportunities		
Is it your policy as an employer to comply with your statutory obligations under the Equality Act 2010 and, accordingly, your practice not to treat one group of people less favourably than others in relation to decisions to recruit, train or promote employees?		
In the last three years, has any finding of unlawful discrimination been made against your organisation by any court of law or industrial tribunal?		
Health and Safety		
List the name and title of the competent person(s) with specific responsibility for the implementation and maintenance of your organisation's health & safety policy e.g. Safety officer or external safety consultant. Please also list relevant Health and Safety training and/or qualifications gained by the competent person(s).		
Provide details of how your health and safety policies are communicated to your employees and administered within your organisation.		
Does your organisation undertake Health and Safety Audits on the properties you propose to offer under contracts with the College? Please provide details.		

Form completed on behalf of the subcontractor by:

(Print name and job title)

Date.....

Office use only

Recommendations for New Providers following completion of Due Diligence Process

Following the due diligence process and assessment of the submission, I would/would not recommend subcontracting with this provider...

Explanation of recommendation

If recommendation is to proceed, outline any caveats or issues to take into consideration during quality, and performance monitoring and reviews:

Signed Associate Director of Business Development and Subcontracting (OCP)

.....Date

I approve this organisation as a subcontractor to Middlesbrough College
Signed on behalf of the Principalship

..... Date



AEB Audit Check List

Announced ☐ Unannounced ☐ Pro Achieve/Solution Print Out ☐

This record is to be completed at the time of the monitoring visit and then returned by the member of staff carrying out the visit

Department/Partner Organisation	
Address where visit took place	

Date of Visit		Time of Visit	
Name of Department/Partner Representative		Signature of Department/Partner Representative	
Name of College Representative		Signature of College Representative	

AEB Check List

Learner Name (including ERDS No)	Enrolment form fully completed	Awarding Body registration seen	Lit /Num assessment & diagnostic completed	ILP completed	Register/Contact log available	Signatures consistent	Fees or remission correctly inputted	Cross referenced with Pro Achieve	Achievement evidence seen	EV / IV Records Available

Comments:

The Middlesbrough College Auditor also observed that the following were readily available within the learner files:

- Evidence of reviews or 1:1 where progress and support is discussed with the learner
- Consistency of signatures
- ILP and Learning Log completed

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OCP Check List

Classroom Audit

Sample of Learner Records

Learner Name	Learner Signature	Course Title/Code and ULN

	Comments
Tutor's name:	
GLH delivered this week?	
GLH delivered last week?	
Registers available Y/N?	Attach copy of class list.
Are absences followed up?	How?
Cover for tutor absence in place?	
Tracking methods seen?	
Review individual learner records.	
Evidence of teaching from day 1?	
Are premises and equipment suitable?	
Display of ESF logo on the premises?	
Sample scheme of work available?	
Is a risk assessment available within the classroom?	
How are courses advertised?	
Information, Advice and Guidance provided? How and when?	
Evidence that students have completed the mandatory training.	
What courses are currently being delivered?	
Any students identified which require additional learning support outside of the standard learning hours.	
Are learner signatures consistent on documentation such as: <ul style="list-style-type: none">Assessed workLearner plansCourse questionnaires	
Is there any malpractice or maladministration identified?	

Are there any cancelled tuition session and do they have a full reason as to why they were cancelled.	
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Back Office Process Audit

	Comments
DBS up to date for all staff?	Yes/No
If No for DBS please give details:	
Have any delivery staff left the company?	
Does the company have any new delivery staff?	
Have all staff completed the mandatory training?	

Additional information, comments or good practises identified

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Learner Interviews

Questions	Y/N	Learner Name	Learner Signature	Course Code
I was given good guidance when I started				
I am aware the course is funded by the ESF				
I have received training on Prevent and Community (British) Values				
I know how my work on the course will be assessed				
The Teaching on the course is good				
I feel safe on the course				
I know who to contact if I am struggling with my studies				
I know who to contact if I had a concern about myself or another.				
Do you know how this course will help you in your future employment'				
Overall, I am happy with the course.				
I was given good guidance when I started				
I am aware the course is funded by the ESF				
I have received training on Prevent and Community (British) Values				
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I feel safe on the course				
I know who to contact if I am struggling with my studies				
I know who to contact if I had a concern about myself or another.				
Do you know how this course will help you in your future employment'				
Overall, I am happy with the course.				
I was given good guidance when I started				
I know how my work on the course will be assessed				
The Teaching on the course is good				
I feel safe on the course				
I know who to contact if I am struggling with my studies				
I know who to contact if I had a concern about myself or another.				
Do you know how this course will help you in your future employment'				
Overall, I am happy with the course.				
Auditor Comments:				

Audit Improvement Plan

Audit Action Ref	Audit Ref	Action	Responsible	Timescale	Status



Subcontractor specification – potential scoring criteria

Franchise Partner

Indicators	Score 1 – 5	Explanation of score	Score/Comments
Distance from college	1 2 3 4 5	Up to 5 miles 5 – 15 miles 15 – 30 miles 30-50 miles 50+ miles	
Performance against profile % (recruitment/enrolment)	1 2 3 4 5	80-100 65-79 50-64 31-49 0-30	
Proposed contract value £k	1 2 3 4 5	Up to £25k £26k - £75k £76k - £150k £151k - £250k £250k +	
Number of locations	1 2 3 4 5	1 2 – 5 6 – 10 11 – 15 16 +	
Year of partnership	1 2 3 4 5	5+ 4 3 2 1	
Length of longest programmes (GLH)	1 2 3 4 5	Less than 20 glh 21 – 60 61 – 120 121 – 240 More than 240 glhs	
Provider status	1 2 3 4 5	Non profit making Community based Professional bodies Private provider Private & Dedicated	
Results from previous monitoring visits	1 2 3 4 5	Many strengths, few weaknesses Strengths clearly outweigh weaknesses Strengths but some weaknesses	

		Weaknesses clearly outweigh strengths Few strengths, many weaknesses	
Learner evaluation	1 2 3 4 5	Less than 2% dissatisfied 2% - 5% dissatisfied 5% - 10% dissatisfied 10% - 20% dissatisfied More than 20% dissatisfied	
Retention rates	1 2 3 4 5	More than 95% 85% - 95% 80% - 85% 70% - 85% Less than 70%	
Success rates by funding stream (apprenticeships; AEB; traineeships; ESIF etc.)	1 2 3 4 5	More than 96% 86% - 95% 68% - 85% 51 - 67% Less than 50%	
Business references	1 2 3 4 5	Excellent Good Fair Poor Not provided	

Total score	
Grade	

Grades (higher the score more risk)

Grade 1 = score of 25 or under

Grade 2 = score of 26 – 30

Grade 3 = score of 31 – 35

Grade 4 = score of 36 – 40

Grade 5 = score of 41 or over

Comments/Outcome of Assessment & recommendation for following contract year:
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Signed by Associate Director of Business Development and Subcontracting OCP
.....

Date of Assessment:

Comments including RAG rating for new contract year

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Agreed by Assistant Principal Adult & Community Learning

.....

Date.....

Appendix 4 – Business Case Template

1. Proposed Subcontracting arrangements	
Name of subcontractor(s) (if known at this stage)	
Subcontractor UKPRN's	
Value of subcontract (s)	
Estimated number of learners	
Estimated Number of funded aims	
Proposed start date	
Last planned end date	

2. Educational Rationale (tick any that apply)	
enhances the opportunities available for learners	
fills gaps in niche or expert provision or provides better access to training facilities	
supports better geographical access for learners	
offers an entry point for disadvantaged groups; or	
gives consideration of the impact on individuals with shared protected characteristics, where there might otherwise be gaps	
Supporting Narrative Please provide supporting narrative outlining how the proposed provision aligns with the educational rationale(s) selected above	

3. Outline delivery model

In particular specify which aspects of the delivery will be undertaken by the College and which aspects are undertaken by the subcontractor (for example, teaching part of the programme or just providing financial and quality assurance)

4. Funding arrangements

What amount of funding is retained by the College as lead provider to cover the costs incurred in the management and administration of the contracts? How do these costs contribute to delivering high quality learning?

4. Market need

To what extent has a gap in the provision of the type to be delivered under the proposed contract been identified or supported by the local authority or an employer?

4. Student Contact

What is the extent of student contact with the College?

4. Other information

Please include any other information that is considered relevant to the business case

Prepared by	
Date	

Appendix 5

[Standard selection questionnaire](#)