



## SUBCONTRACTOR SUPPLY CHAIN FEES AND CHARGES POLICY 2018-19

Owner: Director of Finance and Corporate Affairs  
Approved by: Corporation 27 September 2018  
Last Review: July 2018  
Next Review: July 2019

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## **1. Background**

The purpose of this policy is to provide transparency and consistency of approach to the college's Supply Chain procedures, selection of subcontractors, funding retained by the college and support afforded to its subcontractors.

This policy outlines the objectives of the college for sub-contracting during 2018-19 together with the fees and charges.

Outstanding experience and success of our learners, employers and Subcontractors contribute to the college overall success. The college Key Performance Indicators relevant to this Policy are:

- To improve overall achievement rates to 90% for 2018-19.
- To maintain financial viability.

## **2. Scope**

This policy will apply to all sub-contracted training activity undertaken by the college

## **3. Key Objectives and Reason for Subcontracting**

Academic year ended 31 July 2019

- To engage with sub-contractors who are actively focused on the college's community and improving the employability of adult learners to meet the Education and Skills Funding Agency (ESFA) job outcome funding criteria.
- To purchase niche education and training programmes that add to, and do not duplicate, provision already offered by the college, unless there are delivery capacity issues within the college
- To engage with sub-contractors who can demonstrate a track record of strong achievement rates (i.e. equal to or better than the college targets for 2017-18 and good/outstanding Ofsted reports).
- To engage with sub-contractors who can demonstrate effective procedures for ensuring full compliance against ESFA funding and audit rules and are fully engaged with the delivery of quality provision.
- To achieve the financial contribution targets agreed with the Director of Finance and Corporate Affairs for sub-contracted delivered programmes.

## **4. Sub-contractor Selection and Monitoring Procedure**

Sub-contracted delivered programmes commencing in 2018-19 will be selected on the basis of fulfilling the college key objectives.

This is initially measured by the submission of an Expression of Interest (EOI). EOIs that are successful are progressed to due diligence.

Due diligence requires potential sub-contractors to submit additional supporting evidence which includes the following;

- Register of Apprenticeship Training Providers (ROATP)
- Register of Training Organisations (ROTO)
- Matrix
- Financial accounts
- Valid insurance documentation
- Policies including Safeguarding, Health & Safety, Data Protection and Equality & Diversity.
- CV's including Disclosure and Barring Service Checks, Qualifications and Prevent certification/training
- Self-Assessment Reports, External Validation reports, Awarding Body Approval

All evidence is reviewed by HCFHE Compliance team and agreed by the relevant college specialist.

Sub-contractors are RAG rated based on evidence reviewed. Sub-contractors successfully completing due diligence process are required to meet with the HCFHE Compliance team. The Supply Chain Fees and Charges policy is provided and procedures fully discussed prior to issue of contract.

Contracts for the delivery of programmes in 2018-19 may be phased (i.e. they will be limited to part of the financial year). The award of further contracts will be subject to the outcome of college quality and funding performance reviews.

Contracts will specify: the programmes to be delivered, target learner numbers, maximum contract values, contract and quality management arrangements including continued training requirements and target achievement.

Contracts will comply with the requirements outlined in the college Financial Regulations.

Short notice or unannounced visits will be conducted by the compliance team to establish existence and eligibility of learners.

Provision will be monitored by staff from HCFHE quality team. Quality and compliance visits will occur at least three times over the academic year (Appendices 2, 3 and 4) with an additional three monitoring meetings (Appendix 6). The monitoring meetings will be conducted via telephone or Skype. There will be six visits in total over the year. If the provision is judged to be high risk a repeat full visit will take place within seven working days. In addition, a monitoring meeting agenda template will be used to check progress against actions identified at the previous visit. This visit will look at the internal

processes for internal verification in line with the identified areas of development.

Contracts will be subject to regular performance review inline with the college's review of its own delivery and may be withdrawn, reduced or otherwise amended where the performance review process indicates that there are reasonable grounds to do so.

Should it be necessary to withdraw a contract all active learners will continue to be supported by HCFHE and necessary arrangements will be made to ensure learners are able to achieve.

At the conclusion of the contract sub-contractors will be required to provide destination/learner satisfaction data for all sub-contracted provision.

## **5. Income Retained by the College and Support Provided to Sub-Contractors**

Income retained will consist of 20% of the income received (consisting of programme funding and tuition fees) for programmes delivered off-site (i.e. not at a college campus or college leased or rented satellite site).

Income retained will consist of 30% of the income received (consisting of programme funding and tuition fees) for programmes delivered on-site (i.e. at a college campus or college leased or rented satellite site). The additional 10% is to meet college direct costs such as registration of learners and claiming certification from awarding bodies and college premises related costs including use of college buildings and equipment, energy, security, insurance and maintenance.

All sub-contractors (irrespective of whether the provision is off-site or on-site) will receive the following support from the college:-

### **5.1 Key Quality Processes for Sub-contractor Support**

Pre-contract assessment, contract management including performance against maximum funding values, submitting declaration of sub-contractor forms to the ESFA.

Data management – learner eligibility, existence and completeness checks, recording of enrolment data and submission of funding claim to the relevant funding body.

Performance management – funding compliance checks by internal college staff and management of external audits, setting target achievement and monitoring actual and predicted achievement rates, termly review meetings, unannounced or short notice visits.

Quality management - observations of teaching, learning and assessment. The observations will be graded using the Ofsted grading criteria and strengths and

areas for development arising from the session will be identified. It is the responsibility of the sub-contractor to ensure robust teaching, learning and assessment practices are implemented. The college staff will carry out observations and learning walks to ensure robustness of these practices.

Target Setting meetings are scheduled for October, January and April in line with those held for college courses. Course progress against target and 'at risk learners' are discussed and strategies agreed.

Sub-contractors will have access to college staff development training to enable sharing of good practice.

ALS/disadvantage funding is not paid to providers unless there are specific prior agreed arrangements for the provision of additional support needs.

## **6. Processing and Payment of Invoices**

Enrolment forms and the supporting evidence should be received by the 21<sup>st</sup> of every month. Any paperwork received after the 21<sup>st</sup> will be processed in the following calendar month.

All invoices shall be paid monthly in arrears in respect of each learner who remains enrolled as at the invoice date and for the provision of the programme during the previous month.

The college shall pay the Sub-contractor within 30 days of receipt of the invoice. Payment of the achievement element of funding will reflect funding agency regulations.

## **7. Appendices and Policy Publication and Review**

The annual statement of sub-contractor funding paid and retained (Appendix 1) is published on the college website. Curriculum quality monitoring forms are at Appendices 2 to 4. Compliance checks and the agenda for monitoring meetings are at Appendices 5 and 6 respectively. The policy is reviewed annually and published on the college website.

**Sub-contractor Funding Paid and Retained - 2018-19**

Name of Sub-contractor	UKPRN No	Contract start and end date	Type of Provision	Funding Paid to Sub-contractor	Funding Retained by HCFHE (including ALS)	Total Received from ESFA
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## Delivery Partner Provision

### Visit 1 – Curriculum Monitoring Form for Delivery Partner Provision

Company Organisation:			
Address:			
Telephone:		Fax No:	
Email:			
Contact in Company:			
Monitoring carried out by:			
Date of Monitoring Visit:			
Programmes Monitored:			
Signature of behalf of collaborative partner:		Signature on behalf of the College:	
Name of signatory:		Name of Signatory:	
Date:		Date:	
Overall Outcomes			
Visit outcome for 'assessed risk' was graded as High/ Medium/ Low risk (please highlight)			
The reasons for this outcomes were:			
Date of next visit (High risk within 7 working days)			
Action points for partner			
Key to Risk Grading			
Low risk	Green	1= Exceeds requirements	
Low risk	Green	2= Meets requirements	
Medium risk	Orange	3= Non critical action required	
High risk	Red	4= Critical funding or quality issue. Immediate action required, re-visit within 7 working days	

Sub-Contractor Supply Chain Fees and Charges Policy 2018-19

No	Activity	Checked Y/N	Action Points	Risk Grading
1.	<p><b>Induction</b></p> <ul style="list-style-type: none"> <li>• Information Advice and Guidance – course information</li> <li>• Identification of being 'At Risk'</li> <li>• Personal Emergency Evacuation Plan</li> <li>• Initial Assessment</li> <li>• Diagnostic Assessment</li> <li>• Health &amp; Safety including Fire Evacuation</li> <li>• Safeguarding</li> <li>• Induction programme and checklist completed</li> <li>• Individual Learning Plan and SMART targets set</li> </ul> <p>Comments</p>			
2.	<p><b>Formal Training and Education</b></p> <p>Teaching and learning are planned effectively, meet the needs of all learners, achieve standards set by awarding body and cover syllabuses</p> <p>From Lessons Observed:</p> <ul style="list-style-type: none"> <li>Scheme of Work</li> <li>Learner profile</li> </ul> <p>Lesson Planning &amp; Preparation including differentiation &amp; E&amp;D</p> <ul style="list-style-type: none"> <li>Quality of learner resources</li> <li>VLE or other web based resources</li> </ul> <p>Lesson Delivery &amp; Presentation including e-learning/assessment</p> <ul style="list-style-type: none"> <li>Learners' Active Involvement.</li> <li>English and Maths Development and embedding</li> <li>Management of Learning and Environment</li> <li>Checking &amp; Reinforcement of Learning.</li> <li>Learning &amp; Attainment is evidenced to expected standard</li> <li>Units completed and evidenced as per schedule</li> </ul>			

	<p>For 16-18 Full time learners programmes of study are adequate and include suitable non accredited and accredited learning. For Apprentices, does the planned learning cover the required GLH both on and off job for the individual framework</p> <p><b>For details see the separate "Lesson Observation Record"</b></p> <p><b>Comments</b></p>			
3.	<p><b>Review Procedures and Learner Views</b></p> <p>Reviews provide opportunity for learner/teacher feedback. Target setting is an integral part of the review process (e.g. ILP) Learner identifying difficulties with their learning programme or personal circumstances are supported on their programme by staff and through referral to appropriate agencies Reports to parents/carers and/or Employers contain SMART targets and summary report from personal tutor. Systems are in place to regularly capture and act on learner feedback For Apprentices, reviews provide opportunity for employer input. Reviews update all individual qualifications with the Framework</p> <p><b>Comments</b></p>			
4.	<p><b>Assessment</b></p> <p>Forms of assessment and opportunities for accreditation are appropriate for the individual learner and meet Awarding Body requirements Learners' understand the purpose of assessments and what is expected of them. Assessment is fair, is carried out regularly and is effectively used to tell learners how they might improve.</p>			

	<p>Assessment Schedule &amp; tracking of learner achievement Internal Verification/Moderation schedules are available and up to date. Internal Verification/Moderation records are up to date Internal Verification/Moderation reports are available and actions/recommendations are completed. EV report actions are viewed and assessed EV report actions have been addressed</p> <p><b>Comments</b></p>			
5.	<p><b>Teaching, Learning &amp; Support Arrangements</b></p> <p>A graded lesson observation schedule is in place and all staff are graded at least once per year Observers are suitably trained and moderated Evidence of lesson observation action plan follow up is available for previous observations A T,L &amp; A improvement strategy is in place and actively being followed The completed joint lesson observation (JLO) or graded observation of teaching grade was;</p> <p>Where required, learners receive appropriate support / resources to meet their individual learning needs. Learners have access to relevant support on personal issues. Learners have access to healthy food options Learners are encouraged to engage with/contribute to their community Learners ALS needs have been identified and addressed Apprenticeships – observations are completed on workplace assessments at least one a year</p>			

	<b>Comments</b>			
6.	<p><b>Work Placement Selection and Monitoring</b>                      Work experience, and/or vocational field trips / speakers make an effective contribution to learners' learning.                      Employer Feedback systems in place and used to review programmes                      Employer Impact surveys carried out where applicable</p> <p>Placements are selected to meet the needs of the curriculum.</p> <p><b>Comments</b></p>			
7.	<p><b>Accommodation</b>                      Specialist accommodation provides an appropriate setting for teaching and learning.                      There is appropriate specialist equipment and other resources to support teaching and learning.                      Quality and availability of IT resources where required                      Classroom suitability                      Classroom facilitator IT equipment/ IWB/PC/ web access</p> <p><b>Comments</b></p>			

8.	<p><b>Health and Safety and Safeguarding</b>                  Learners carry out practical work competently and safely.                  Specialist classrooms, laboratories and teaching areas are suitably equipped and relevant H&amp;S notices displayed                  Staff are adequately trained in safeguarding policies                  Apprentices – health and safety checks are available for all employers and insurance details are up to date</p> <p><b>Comments</b></p>			
Comments				
Overall Outcomes				
<p><b>Visit outcome for ‘assessed risk’ was graded as High / Medium / Low Risk (please highlight)</b></p> <p>The reasons for this outcome were:</p>				
Date of next visit: High Risk (within 7 working days)				
Action Points for Delivery Partner				
Outstanding Actions arising from any previous visits		Responsibility	Date Due	Progress Update
Action Points for delivery partner arising from the visit				
Induction:				
Formal Training and Education:				
Review procedures:				
Assessment:				
Teaching, Learning and Assessment,				
Observation grade: 1/2/3/4 (please highlight)				

## Sub-Contractor Supply Chain Fees and Charges Policy 2018-19

JLO moderation outcome; accurate grading/inaccurate grading			
Work Placement Selection and Monitoring:			
Accommodation:			
Health & Safety and Safeguarding:			
Other Comments including feedback on SAR and QIP submitted:			



Appendix 3

Delivery Partner Provision

Visit 2 – Curriculum Monitoring Form for delivery partner Provision

Company Organisation:			
Address:			
Telephone:		Fax No:	
Email:			
Contact in Company:			
Monitoring carried out by:			
Date of Monitoring Visit:			
Programmes Monitored:			
Signature of behalf of collaborative partner:		Signature on behalf of the College:	
Name of signatory:		Name of Signatory:	
Date:		Date:	
Overall Outcomes			
Visit outcome for 'assessed risk' was graded as High/ Medium/ Low risk (please highlight)			
The reasons for this outcomes were:			
Date of next visit (High risk within 7 working days)			
Action points for partner			
Key to Risk Grading			
Low risk	Green	1= Exceeds requirements	
Low risk	Green	2= Meets requirements	
Medium risk	Orange	3= Non critical action required	
High risk	Red	4= Critical funding or quality issue. Immediate action required, re-visit within 7 working days	

Sub-Contractor Supply Chain Fees and Charges Policy 2018-19

No	Activity	Checked Y/N	Action Points	Risk Grading
1.	<p><b>Recruitment Profile Update</b></p> <ul style="list-style-type: none"> <li>• Profile targets</li> <li>• On programme numbers to date</li> <li>• Pipeline starts</li> </ul> <p>Comments</p>			
2.	<p><b>Learner KPI's and progress update</b></p> <p>The current QIP targets are;</p> <ul style="list-style-type: none"> <li>• Current retention per course</li> <li>• Learner attendance per course and overall</li> <li>• Learner progress against assessment plans</li> <li>• "At risk" learners and actions</li> <li>• <b>Predicted achievement is;</b></li> </ul> <p>Comments</p>			
3.	<p><b>Learner reviews and ILP quality</b></p> <ul style="list-style-type: none"> <li>• ILP's are complete and comprehensive</li> <li>• Reviews include learner/teacher feedback.</li> <li>• Target setting is regular and an integral part of the review process (e.g. ILP) and SMART</li> <li>• Stretching target grades have been applied (where appropriate)</li> <li>• Learner identifying difficulties with their learning programme or personal circumstances are supported on their programme by staff and through referral to appropriate agencies</li> </ul>			

	<ul style="list-style-type: none"> <li>• Reports to parents/carers and/or Employers contain SMART targets and summary report from personal tutor.</li> <li>• Learners have access to relevant support on personal issues.</li> <li>• Learners have access to healthy food options</li> <li>• Learners are encouraged to engage with/contribute to their community</li> <li>• Safeguarding issues have been suitably recorded and reported</li> <li>• Learners ALS needs have been identified and addressed</li> <li>• Learner views are not highlighting significant issues</li> <li>• Apprenticeships – Reviews include employer comments</li> </ul> <p><b>Comments</b></p>			
4.	<p><b>Tracking of Assessment and quality of assessment</b></p> <ul style="list-style-type: none"> <li>• Assessment Schedule &amp; tracking of learner achievement is in place and up to date</li> <li>• Internal Verification/Moderation schedules are available and up to date.</li> <li>• Internal Verification/Moderation records are up to date</li> <li>• Internal Verification/Moderation reports are available and actions/recommendations are completed.</li> <li>• EV report actions are viewed and assessed</li> <li>• EV report actions have been addressed</li> <li>• Completed programmes have learner feedback recorded</li> <li>• Completed learners destinations are recorded</li> </ul> <p><b>Comments</b></p>			

5.	<p><b>Teaching and Learning and Support Arrangements</b></p> <ul style="list-style-type: none"> <li>• A teaching observation schedule is in place and up to date with all delivery staff graded at least once per year</li> <li>• Observation staff are suitably trained and moderated</li> <li>• The observation report judgements are accurate</li> <li>• The teaching observation grade profile to date is; Target; Actual;</li> <li>• The completed joint lesson observation (JLO) or graded observation of teaching grade was;</li> <li>• Maths &amp; English are embedded where appropriate Targets;</li> </ul> <p><b>Comments</b></p>			
6.	<p><b>Work Experience and work related learning</b></p> <ul style="list-style-type: none"> <li>• Work experience, and/or vocational field trips / speakers make an effective contribution to learners' learning.</li> <li>• Placements are selected to meet the needs of the curriculum.</li> <li>• Adequate H&amp;S arrangements are in place for work experience</li> <li>• Study programmes for 16-18's are being met</li> <li>• Employer feedback doesn't highlight significant issues</li> <li>• Apprenticeships – the full range of work required for the framework is available to the learner.</li> </ul>			

	<b>Comments</b>			
7.	<p><b>Accommodation</b></p> <ul style="list-style-type: none"> <li>• Specialist accommodation provides an appropriate setting for teaching and learning.</li> <li>• There is appropriate specialist equipment and other resources to support teaching and learning.</li> <li>• Quality and availability of IT resources where required</li> <li>• Classroom suitability</li> <li>• Classroom facilitator IT equipment/ IWB/PC/ web access</li> </ul> <p><b>Comments</b></p>			
8.	<p><b>Health and Safety and Safeguarding</b></p> <ul style="list-style-type: none"> <li>• Learners carry out practical work competently and safely.</li> <li>• Learners wearing suitable PPE where appropriate</li> <li>• Specialist classrooms, laboratories and teaching areas are suitably equipped and relevant H&amp;S notices displayed</li> <li>• Risk assessments in place and up to date</li> <li>• Accident register has evidence of follow up post accidents</li> <li>• Safeguarding records in place</li> <li>• Safeguarding promoted using suitable notices</li> <li>• Delivery staff lists up to date ,accurate and new staff checks carried out</li> </ul> <p><b>Comments</b></p>			

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Comments				
Overall Outcomes				
<b>Visit outcome for 'assessed risk' was graded as High / Medium / Low Risk (please highlight)</b>				
The reasons for this outcome were:				
Date of next visit: High Risk (within 7 working days)				
Action Points for partner				
Outstanding Actions arising from any previous visits		Responsibility	Date Due	Progress Update
Action points for partner arising from this visit:				
Induction:				
Recruitment profile update:				
Learner KPIs and progress update:				
Learner reviews and ILP quality:				
Tracking of Assessment and quality of assessment:				
Teaching and learning and support arrangements:				
Observation Grade 1/2/3/4 (please highlight)				
Work experience and work related learning:				
Accommodation:				
Health & Safety and Safeguarding:				
Other Comments:				



Appendix 4

Delivery Partner Provision

Visit 3 – Curriculum Monitoring Form for delivery partner Provision

Company Organisation:			
Address:			
Telephone:		Fax No:	
Email:			
Contact in Company:			
Monitoring carried out by:			
Date of Monitoring Visit:			
Programmes Monitored:			
Signature of behalf of collaborative partner:		Signature on behalf of the College:	
Name of signatory:		Name of Signatory:	
Date:		Date:	
Overall Outcomes			
Visit outcome for 'assessed risk' was graded as High/ Medium/ Low risk (please highlight)			
The reasons for this outcomes were:			
Date of next visit (High risk within 7 working days)			
Action points for partner			
Key to Risk Grading			
Low risk	Green	1= Exceeds requirements	
Low risk	Green	2= Meets requirements	
Medium risk	Orange	3= Non critical action required	
High risk	Red	4= Critical funding or quality issue. Immediate action required, re-visit within 7 working days	

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1.	<p><b>Recruitment Profile Update</b></p> <ul style="list-style-type: none"> <li>• Profile targets</li> <li>• On programme numbers to date</li> <li>• Pipeline starts</li> <li>• Likely final position</li> </ul> <p>Comments</p>			
2.	<p><b>Learner KPI's and progress update</b></p> <ul style="list-style-type: none"> <li>• Learner feedback survey statistics</li> <li>• Current retention per course</li> <li>• Learner attendance per course and overall</li> <li>• Learner progress against assessment plans</li> <li>• "At risk" learners and actions</li> <li>• <b>Predicted final achievement is;</b></li> <li>• <b>Where appropriate; Maths and English predicted final achievement;</b></li> <li>• <b>Apprenticeships – predicted timely achievement is:</b></li> </ul> <p>Comments</p>			
3.	<p><b>Learner reviews and ILP quality</b></p> <ul style="list-style-type: none"> <li>• ILP's are complete and comprehensive</li> <li>• Reviews include learner/teacher feedback.</li> <li>• Target setting is regular and an integral part of the review process (e.g. ILP) and SMART</li> <li>• Stretching target grades have been applied (where appropriate)</li> <li>• Distance Travelled/progress against starting point</li> <li>• Learner identifying difficulties with their learning programme or personal circumstances are supported</li> </ul>			

	<p>on their programme by staff and through referral to appropriate agencies</p> <ul style="list-style-type: none"> <li>• Reports to parents/carers and/or Employers contain SMART targets and summary report from personal tutor.</li> <li>• Learners have access to relevant support on personal issues.</li> <li>• Learners have access to healthy food options</li> <li>• Learners are encouraged to engage with/contribute to their community</li> <li>• Safeguarding issues have been suitably recorded and reported</li> <li>• Learners ALS needs have been identified and addressed</li> <li>• Apprenticeships – reviews include employer comments</li> <li>• Reviews include progress against whole framework</li> </ul> <p><b>Comments</b></p>			
4.	<p><b>Tracking of Assessment and quality of assessment</b></p> <ul style="list-style-type: none"> <li>• Assessment Schedule &amp; tracking of learner achievement is in place and up to date</li> <li>• Internal Verification/Moderation schedules are available and up to date.</li> <li>• Internal Verification/Moderation records are up to date</li> <li>• Internal Verification/Moderation reports are available and actions/recommendations are completed.</li> <li>• EV report actions are viewed and assessed</li> <li>• EV report actions have been addressed</li> <li>• Completed programmes have learner feedback recorded</li> </ul>			

	<ul style="list-style-type: none"> <li>Completed learners destinations are recorded and targets achieved</li> </ul> <p><b>Comments</b></p>			
5.	<p><b>Teaching and Learning and Support Arrangements</b></p> <ul style="list-style-type: none"> <li>A teaching observation schedule is in place and up to date with all delivery staff graded at least once per year</li> <li>Observation staff are suitably trained and moderated</li> <li>The observation report judgements are accurate</li> <li>The teaching observation grade profile to date is; Target; Actual;</li> <li>Maths &amp; English are embedded where appropriate Targets; Actual;</li> <li>The completed joint lesson observation (JLO) or graded observation of teaching grade was;</li> <li>T&amp;L action plans have been addressed</li> <li>T&amp;L CPD has been carried out &amp; records completed</li> </ul> <p><b>Comments</b></p>			
6.	<p><b>Work Experience and work related learning</b></p> <ul style="list-style-type: none"> <li>Work experience, and/or vocational field trips / speakers make an effective contribution to learners' learning.</li> </ul>			

	<ul style="list-style-type: none"> <li>• Placements are selected to meet the needs of the curriculum.</li> <li>• Adequate H&amp;S arrangements are in place for work experience</li> <li>• Employer feedback has been sought and actions undertaken where required</li> </ul> <p><b>Comments</b></p>			
7.	<p><b>Accommodation</b></p> <ul style="list-style-type: none"> <li>• Specialist accommodation provides an appropriate setting for teaching and learning.</li> <li>• There is appropriate specialist equipment and other resources to support teaching and learning.</li> <li>• Quality and availability of IT resources where required</li> <li>• Classroom suitability</li> <li>• Classroom facilitator IT equipment/ IWB/PC/ web access</li> </ul> <p><b>Comments</b></p>			
8.	<p><b>Health and Safety and Safeguarding</b></p> <ul style="list-style-type: none"> <li>• Learners carry out practical work competently and safely.</li> <li>• Learners wearing suitable PPE where appropriate</li> </ul>			

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	<ul style="list-style-type: none"> <li>• Specialist classrooms, laboratories and teaching areas are suitably equipped and relevant H&amp;S notices displayed</li> <li>• Risk assessments in place and up to date</li> <li>• Accident register has evidence of follow up post accidents</li> <li>• Safeguarding records in place &amp; any actions taken</li> <li>• Safeguarding promoted using suitable notices</li> <li>• Delivery staff lists up to date ,accurate and new staff checks carried out</li> <li>• Apprenticeships – updates on insurance details is gathered from all employers</li> </ul> <p><b>Comments</b></p>			
<b>Comments</b>				
Overall Outcomes				
<b>Visit outcome for 'assessed risk' was graded as High / Medium / Low Risk (please highlight)</b>				
The reasons for this outcome were:				
Date of next visit: High Risk (within 7 working days)				
<b>Action Points for partner</b>				
Outstanding Actions arising from any previous visits	Responsibility	Date Due	Progress Update	
<b>Action Points from partner arising from the visit</b>				

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Recruitment profile update:			
Learner KPIs and progress update:			
Learner reviews and ILP quality:			
Tracking of Assessment and quality of assessment:			
Teaching and learning and support arrangements:			
Observation Grade 1/2/3/4 (please highlight)			
JLO moderation outcome; accurate grading/inaccurate grading			
Work experience and work related learning:			
Accommodation:			
Health & Safety and Safeguarding:			
Other Comments:			

## Partner Compliance Checks

**Name of Partner -**

**Date -**

**Location -**

**Attendees HCFHE / Job title -**

**Attendees Partner / Job title -**

### Opening Meeting

Explain reasons for visit:

- Ensure that partners are adhering to existence and eligibility criteria of ESFA
- Ensuring processes and procedures are sufficiently robust
- Havering College is ultimately responsible as the lead for its partner's provision, therefore we must monitor our partners and be seen to monitor them
- Promote good practice, highlight any weaknesses, instate corrective actions and monitor progress
- Help to support partners where possible

### Processes and Procedures

How do you recruit your learners? (JCP referrals / sales team / employer requests / walk ins)

Once recruited, how are learners signed up? (Procedure / checklist)

How is eligibility confirmed? (ID / Prior qualifications checked / benefit evidence)

How are learners monitored throughout their course? (Reviews / assessments. Frequency)

When are learners registered with the awarding body? (Refer to 2 week rule)

Request to see 'live' evidence showing learners are registered.

How do learners achieve their qualification? (Exam / coursework / assessments)

How and when are certificates applied for? (Direct claim / timescale)

### Learner Satisfaction

How do you gather feedback from learners? (Survey / anonymous / frequency)

What do you do with the results? (Recorded / examples / positive negative / feedback to staff)

What is the process for dealing with learners complaints? (Complaints procedure)

Do you have any HC learner success stories? (Employment / started own business / newspaper interview)

### Staff

How do Staff stay up to date with the industry? (CPD logs / Staff development days / HCFHE Staff development days / Awarding body / ESFA / Seminars / Webinars)

### Documents

- Current staff list

### Due Diligence

Tick if already on file and in date, If not collect copy at Visit.

- Audited Accounts
- SAR
- Risk Assessments
- Insurance Certificates
- Safeguarding Policy
- Staff CV's
- DBS No's
- Quality Assurance Policy

- Equality & Diversity Policy
- Health & Safety Policy

**Learners**

Current number of learners enrolled –

Name –

Course –

- File Available
- Evidence of regular reviews
- Evidence work being completed

Name –

Course –

- File Available
- Evidence of regular reviews
- Evidence work being completed

Name –

Course –

- File Available
- Evidence of regular reviews
- Evidence work being completed

Name –

Course –

- File Available
- Evidence of regular reviews
- Evidence work being completed

Name –

Course –

- File Available
- Evidence of regular reviews
- Evidence work being completed

Appendix 6

**Delivery Partner Monitoring Meeting Fixed Agenda**

Agenda Item Document pack required for this meeting; Contract profile, enrolment report, monthly funding report, achievement unknowns report, audit action plan, quality monitoring action plan and QIP.		<b>(5 minutes)</b>
1.	Action Plan review	
2.	Ofsted readiness check; PRD's, LO action plan, Trips/visits enrichment log, CQR, QIP update, ILP, complaints and bullying log,	
<b>Discussion Items</b>		
3.	<ul style="list-style-type: none"> <li>• Progress against Profile</li> </ul>	
4.	<ul style="list-style-type: none"> <li>• Emerging deadlines in monitoring</li> </ul>	
5.	<ul style="list-style-type: none"> <li>• KPI Monitoring:                             <ul style="list-style-type: none"> <li>➤ Retention. achievement .success</li> <li>➤ At risk success monitoring by course</li> <li>➤ Attendance &amp; Punctuality by course</li> </ul> </li> </ul>	
6.	<ul style="list-style-type: none"> <li>• Teaching, Learning &amp; Assessment</li> <li>• T&amp;L Profile update</li> <li>• LO action plan progress update</li> <li>• ALS</li> <li>• Integration of Maths and Eng</li> </ul>	
7.	<ul style="list-style-type: none"> <li>• Compliance documentation</li> </ul>	
8.	<ul style="list-style-type: none"> <li>• Learner Voice &amp; Tutorials</li> <li>• Learner voice themes and issues</li> <li>• Learner surveys</li> <li>• Tutorial</li> <li>• Employer Surveys ( Apprenticeships and LiTW)</li> </ul>	
9.	<ul style="list-style-type: none"> <li>• Quality Monitoring                             <ul style="list-style-type: none"> <li>➤ IV progress &amp; course review progress</li> <li>➤ Curriculum Quality /SAR/ QIP update</li> <li>➤ EV visits and actions</li> <li>➤ Emerging deadlines</li> </ul> </li> </ul>	
10.	<ul style="list-style-type: none"> <li>• Recruiting / Marketing/Business planning</li> </ul>	
11.	<ul style="list-style-type: none"> <li>• Emerging issues or complaints</li> <li>• Trips – Visits – achievements - problems</li> </ul>	
12.	<ul style="list-style-type: none"> <li>• Health &amp; Safety</li> <li>• Safeguarding</li> </ul>	

Sub-Contractor Supply Chain Fees and Charges Policy 2018-19

13.	<ul style="list-style-type: none"><li>• Staff issues</li><li>• Staff training</li><li>• PRD's</li></ul>	
14.	<b>Current Risk Position based on this meeting</b>	1, 2, 3, 4 (circle)