

Policy/Procedure Name:	Management of Subcontractors Procedure
Policy/Procedure Number:	BBS004
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Role Responsible:	Executive Director of Brooklands Business Solutions
Approved By:	SLT

1.0 Information relating to the selection and due diligence of subcontractors

Brooklands College has been successfully working with a number of high quality subcontractors since December 2010 and has developed a clearly defined formal process to ensure the appropriateness and quality of provision.

2.0 Initial Contact

Contact may be a direct approach from the subcontractor or from the official Register of Training Organisations published on a regular basis by the ESFA. We also advertise on our website when tendering opportunities are open and circulate tendering documents to current partners and those that have expressed an interest in working with the College.

3.0 Essential Criteria

- Subcontractors must be registered on the official Register of Training Organisations (allowing for new registration)
- Subcontractors wanting to subcontract for Apprenticeship provision must have been accepted on to the Register of Apprenticeship Training Providers, and must maintain this registration for the duration of the proposed contract period.
- Subcontractors must have a valid UKPRN number
- As a mandatory aspect of tendering processes the subcontractors must first complete a Pre- acceptance form which must include:
 - Full registered name of proposed partner organisation
 - Company Registration and full registered address of proposed partner
 - Full name(s) of all registered company Director(s)
 - Overview of the proposed partner organisation (E.g. type of provider, SME or Large employer, mission statement, company structure, how long has the organisation been in existence?)
 - Confirmation that they appear on the current ESFA published Register of Training Organisations and for any Apprenticeship Provision are on the Register of Apprenticeship Training Providers
 - Confirmation of their UKRLP registration
 - Description of the nature and range of existing provision including success, retention and achievement data, geographical areas (e.g. vocational training, FE, HE and subject areas covered)
 - Details of any existing or previous collaborative arrangements with other FE Colleges or direct funding contracts they have held or currently hold.
 - Provide details of employers you have worked with (with EDRS number if known)
 - List the proposed partnership provision, which must include framework number, learning aim reference with: a Learning Aims Search (LAS) printout found via the following link: <https://hub.imservices.org.uk/Learning%20Aims/Pages/default.aspx>, mode of delivery and duration. This also includes new standards and trailblazers.

Once received this information is used to develop a detailed company history including:

- Companies house checks
- Financial records
- Annual Returns
- Director information
- Liability insurance
- Subcontractor policies and procedures

- Staff records including CVs, CPD, DBS records, qualifications and safeguarding training

4.0 Desk Top Assessment

The Brooklands Business Solutions (BBS) team will initially review and evaluate the information submitted from the partner and make a decision to reject, request further actions/information or approve the pre- acceptance. (BMUFRM011).

Depending on the outcome a further request may be made to provide information around quality procedures, value for money and minimum levels of performance.

At least three references will also be requested at this time, although it is likely that all previous primes will be contacted at the next stage. These may initially be in the form of a phone conversation or a personal meeting but should be followed up with a written request/response.

Directors listed on companies house and that appear on the pre-acceptance form are reviewed to ensure there are no identified conflict of interest issues between the subcontracting Partner and Brooklands College (on both sides).

A Pre-Contract meeting is arranged with the Subcontractor partner to examine the evidence and follow up on any queries or outstanding information. A standard agenda is in place (BMUTMP023). Site visits are arranged as soon as is practicable.

The BBS Tendering and Contracts Panel record the decisions of the panel and agree the partners being put forward to the Chief Executive. Panel Decisions are recorded on (BMUFRM014).

The BBS team will then put forward applications to partner to the Chief Executive/Governing Body who will have final sign off. Financial assurance information is also reviewed and a summary is put forward to the Chief Executive/Governing Body to have final sign off (BMUFRM026).

A draft contract is then prepared and a delivery forecast schedule requested to determine a profile for delivery and associated costs/charges.

This profile is reviewed by the Principal and, where appropriate, referred to our ESFA account manager if appropriate.

Once the profile and maximum funding value is agreed, a final contract and schedules are raised and signed by both parties.

Quality procedures are in place as part of the on-going management of the contract, and include quality visits by the BBS team, paperwork audits, student surveys, assessor reviews, regular team meetings, industrial visits and employer feedback.

5.0 Tendering Process

As part of the above Desktop Assessment, Subcontracting partners are also required to submit a Partnership Document – Subcontract Values and Financial Regulations (BMUFRM003).

This is an application to tender document which all potential subcontracting partners are asked to submit to detail their capacity for delivery, funding streams they wish to tender for, overview of qualifications they propose to deliver as part of the partnership, profiled starts for the academic year and pipeline employers/learners. This document is reviewed as part of the Desk Top Assessment Process above and is considered by the BBS team as to whether this meets with the College's priorities, compliments the College's provision and linked to LEP and Government

Priorities. Success rates and quality documentation provided as part of the Pre-Acceptance process are also reviewed with the application for tender and inform the decision making process.

If an application is put forward the BBS team may make recommendations to the value and funding streams dependant on the budget for that academic year.

All existing subcontractors are required to provide an application to tender each academic year and ensure their due diligence information is up to date and provided to the College as part of that re-tendering process. Previous performance, quality of provision and success rates are reviewed in the decision making process.

Potential subcontractors who have previously expressed an interest may also be invited to submit a tender application.

6.0 Management of subcontractors Information

Funding allocated by funding bodies to provide training is sometimes channelled from the main provider to smaller providers who act as "subcontractors". They may be responsible for all or part of the delivery and assessment. The main provider may not have expertise in an area or may not have the physical resources to deliver it. Subcontracted provision should meet the standards of the main provider and should be managed to ensure that this happens.

7.0 Subcontracting Performance Meetings

Subcontracting Performance Meetings take place on 6-8 weekly basis. Business & Partnership Manager chairs the meeting, looking at contract values, performance against contract and issues relating to specific learners. Minutes are taken and actions noted (BMUFRM009). Actions are monitored. Risk Rating is reviewed where there are performance issues or good performance is highlighted. Where performance issues are a concern, unannounced visits/meetings will take place. A standard agenda is in place for subcontractor meetings (BMUTMP51)

8.0 Quality Audits

Two Quality Audits take place per year and a standard agenda (BMUTMP52) and report template (BMUFRM080). are in place. Business and Partnership Manager, Quality Officer and Contracts & Compliance Coordinator attend the premises of the subcontractor. A review of learner files (BMUCHK004) takes place and the files are selected at random on the day of the visit.

Observations take place during the year undertaken by the Quality Officer (or another designated observer) which feed into the Quality Audit process.

The Risk Rating is reviewed where there are quality issues or where good practice is highlighted. Where quality issues are a concern, a further unannounced visit would take place in 2-3 weeks.

Any training or development needs highlighted from visits or meetings inform activities for CPD days or Subcontractor Forums.

9.0 Subcontractor Forums

Forums include updates on Funding and other subcontracting news as well as identified CPD. Days include; CPD on processes and procedures, compliance, safeguarding/prevent and presentations from Support Departments at the College, including MIS, Quality and HR.

Subcontracting delivery staff are invited to attend in-house training session with Brooklands Assessment Team.

10.0 Risk Ratings

The Subcontracting Risk Register is reviewed on a termly basis. Subcontractors are given a risk rating and this is reviewed on a termly basis based on performance and quality aspects, however, if significant concerns or issues occur the Risk Rating would be reviewed immediately.