

**Name of Policy** **SUBCONTRACTOR PROVISION QUALITY MANUAL  
2016 - 17**

**Purposes** To form part of the College's Quality Assurance procedures for subcontractor provision. This manual sets out standards for subcontractors and gives guidance on the completion of documentation.

**Responsibility of / Job Title** Vice Principal: Finance and Resources

**Equality Assessment By Whom**  **Date** Nov 2016

**Version** 1 **Date of next review (month & year)** Nov 2017

		<b>Date</b>
<b>Approved by</b>	Senior Manager	
	ELT	
	Corporation	

**Related policies or procedures or parent policy if applicable**

**Groups/bodies consulted in the development of the policy**

**To be published on College website** YES / NO



## SUBCONTRACTOR PROVISION QUALITY MANUAL 2016 -17

### Introduction

The Subcontractor Provision Quality Manual is a controlled document and forms part of Macclesfield College's (the College) Quality Assurance Procedures for subcontractor provision. This manual sets out standards for subcontractors and gives guidance on the completion of documentation and should be used in conjunction with the College's subcontractor contract, policies and procedures and SFA funding rules.

It is a responsibility of the subcontractor to ensure that this manual is read and implemented accordingly by all members of staff involved in the management and delivery of learning programmes to the College's learners.

It is the responsibility of the subcontractor to ensure sufficient copies of all necessary documentation are available for use.

Your named contact at Macclesfield College is Tracy Cosgrave Director: Employer Enterprise and Commercial Services (DEECS)

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*All correspondence to the College, including invoices and any other enquiries should be directed to the above contact for distribution to appropriate personnel within the College.*

## 1. Macclesfield College Policies and Procedures

Subcontractor organisations delivering provision on behalf of Macclesfield College are contractually committed to adhering to key Macclesfield College policies and procedures as detailed below.

- 1.1 Data Protection
- 1.2 Equality and Diversity
- 1.3 Health & Safety
- 1.4 Child Protection Policy (Safeguarding)
- 1.5 Student Support Procedures
- 1.6 Student Disciplinary

- 1.7 Drugs, Alcohol and Substance Misuse
- 1.8 Anti-Bullying and Harassment Policy and Procedure (Students)
- 1.9 Assessment & Achievement (inc. Appeal Against Assessment Decision)
- 1.10 Recognition of Prior Learning
- 1.11 Complaints Procedure

## 2. Health & Safety

- Risk Assessment

The subcontractor organisation must undertake appropriate Risk Assessments for all the activities carried out during the learning programme. The subcontractor organisation may use their own documentation if approved by the College. Alternatively, they may use the **College Risk Assessment**

- Accident Reporting

Tutors must carry copies of the **Accident Report form** which must be completed should any accident requiring reporting occur (as detailed in the Health & Safety Policy). The Accident Report must be forwarded to the DEECS who will forward it to relevant personnel within the college.

In the event of a serious incident, the College must be contacted **immediately** so that the College Health & Safety Officer can be advised and take appropriate action.

- Off-site Venue Safety Checklist

Before delivery at an off-site venue, the **Fieldwork Safety Planning Checklist** must be completed and a copy forwarded to the DEECS.

- Work Placement Check

It is the responsibility of the subcontractor to ensure the safety of learners on work placement in line with current legislation and guidelines. A copy of the subcontractor's procedures for work place health and safety checks will be requested by the DEECS before delivery commences. The College reserves the right to undertake random checks to ensure that these procedures are effectively implemented.

- Off-Site Visit Procedure

It is the responsibility of the subcontractor to ensure the safety of learners while undertaking off-site visits, in line with current legislation and guidelines. A copy of the subcontractor's procedures for off-site visits will be requested by the College before delivery commences. The College reserves the right to undertake random checks to ensure that these procedures are effectively implemented.

## 3. Quality Assurance

The College has a duty to monitor the management of the contract and the quality of the provision offered to its learners through a subcontractor agreement.



The College has a number of Quality Assurance procedures and systems in place that it will implement in support of the contract and these are detailed below. Quality Assurance arrangements for subcontractors are the same as for College internal arrangements. This is achieved through:

- Completion of the **Due Diligence Questionnaire**
- **Sub-contractor site visit**

The purpose of this visit is to validate the information provided in the due diligence questionnaire.

- Contract monitoring
- Self-Assessment

In line with Macclesfield College Quality Assurance Procedures, all subcontractor organisations are required to complete the **Self-Assessment Report** and Data Tables in **Appendix 1**. This will be reviewed at a final contract review/renewal meeting each academic year.

- Subcontractor 'Spot' Checks

The College will carry out unannounced 'spot' checks on programmes delivered by subcontractor organisations. These checks are to ascertain the courses identified to the College are taking place and that the learners enrolled on programmes are genuine learners. During these visits, the Operations Director will confirm that the learners are aware of their entitlement as Macclesfield College learners; that accommodation is appropriate and conducive to learning; and that equipment is sufficient to effectively support teaching and learning (**Unannounced 'Spot Check' Record**).

- Stakeholder Feedback

#### Learner Feedback

Subcontractors must evaluate learner feedback and provide evidence that this is obtained on a regular basis and ensure that any actions identified following analysis of learner feedback where judged appropriate, are implemented.

In addition the College will undertake learner feedback on a random basis in order to receive independent feedback from leavers. This information assists the college in its quality monitoring and provides evidence to support our annual self-assessment.

Any issues raised will be investigated and brought to the attention of the subcontractor. The subcontractor will be given an analysis of all feedback received and, where appropriate, an action plan will be negotiated.

#### Subcontractor Feedback

In order to assist the College in improving its services to subcontractor organisations, subcontractors will be given the opportunity to provide feedback on services provided by the College.

#### Employer Feedback

Where subcontractors provide provision on behalf of Macclesfield College to learners in the workplace, the subcontractor must evaluate employer feedback and provide evidence that this is undertaken on a regular basis and ensure that any actions identified are implemented.

In addition, the College may undertake employer feedback on a random basis in order to receive independent feedback. This information assists the college in its quality monitoring and provides evidence to support our self-assessment process.

- Teaching & Learning Observations

It is assumed that the subcontractor will undertake their own observations of teaching and learning to ensure and enhance the quality of provision. However, Macclesfield College reserves the right to undertake observations of teaching and learning in line with the **Observation of Teaching and Learning Policy**

Tutors being observed will be given no notice.

- External Verifier Reports

Although the College is not directly involved in the process of external verification, copies of External Verifier Reports for all programmes involving Macclesfield College learners must be forwarded to the DEECS. The DEECS should be informed of any external quality assurance verification visits that are arranged.

- Review of Learner Support, Progress and Achievement.

Representatives of the College will visit the subcontractor when delivery is taking place to review the learner support, progress and achievement.

- Continuing Professional Development

Teachers employed by subcontractors to deliver Macclesfield College provision are entitled to access staff development opportunities at the College. Schedules will be provided to subcontractors, as available.

## 4. Course Organisation

4.1 **Delivery Plan/Course Notification** – this is used to notify the Partnership Team of planned delivery dates

4.2 Course Planning

These should be completed and made available for all taught sessions; templates are available for your information.

### 4.2.1 Course Planner

### 4.2.2 Session Plan

4.3 Information, Advice and Guidance

Learners must receive a level of initial guidance appropriate to the programme they are embarking on. It should cover four key elements;

- Implications for the chosen programme
- Suitability of the chosen programme
- Entry requirements of the chosen programme
- Support opportunities available

This should ensure that learners are enrolling upon an appropriate programme to meet their individual needs.

Information, Advice & Guidance (IAG) should be provided in line with the College policies.

#### 4.4 Enrolment & Withdrawal

All learners are required to complete the documentation provided as a minimum (Learning Agreement; Apprenticeship Agreement; Organisational Needs Analysis (ONA); Health & Safety review; Training Proposal; Apprenticeship Grant for Employers of 16 to 24 year olds (AGE 16 to 24); Apprenticeship Tracking Sheet; and a workplace Induction which should be forwarded to the DEECS within seven days of completion prior to the end of the preceding month. Guidance is provided below. If the subcontractor organisation is the Accredited Centre, evidence that the learners have been registered with the appropriate awarding organisation must be provided.

A learner in receipt of unemployment benefits may be eligible for fee remission- please complete the enrolment form and submit it with the Learning Agreement.

Subcontractors who have learners undertaking more than one programme or learners who progress from one course to another should re-enrol or complete a transfer form.

If a learner withdraws from the programme or transfers to another programme a **Withdrawal/Transfer form** must be completed and submitted to the DEECS within seven days of completion and prior to the end of the preceding month. The information regarding the last date attended must be accurate with supporting evidence of teaching and learning. The form must be signed and dated by the subcontractor before forwarding to the College. The **Withdrawal/Transfer form** must be accompanied by a register as audit evidence of the last date of attendance.

A learner is considered withdrawn from the College for funding purposes if they have been absent for four consecutive weeks without notification.

#### Breaks in learning (BiL)

Should the sub-contractor deem it necessary to suspend a learner's learning aim(s) while the learner takes a break from learning, approval must be sought in advance to agreeing any break in learning with either the learner and/or employer, from the College's DEECS . A BiL allows the learner to continue learning at a later date with the same eligibility that applied when they first started their learning aim. However:

- The College will not fund a learner during a BiL.
- The sub-contractor organisation must have evidence that the learner agrees to return and continue with the same learning aim, otherwise you must report the learner as 'withdrawn'.



- The sub-contractor must not use a break in learning for short-term absences, such as holidays or short-term illness.

#### 4.5 Induction

All Learners should participate in a comprehensive induction programme. Tutors involved in the delivery of induction must follow the **induction checklist** or an agreed equivalent.

It is essential that all learners are aware of:

- The involvement of Macclesfield College in supporting the programme.
- Their entitlement to 'Learner Association' benefits and discounts.
- Their right to access College services, facilities and support.

Tutors must also make sure that learners are aware of the following policies and procedures:

- Learner appeal against internal assessment procedure
- Equal Opportunity Policy
- Health & Safety Policy
- Disciplinary procedures
- Formal complaints procedures

A **learner induction checklist** should be completed by each learner following induction.

#### 4.6 Initial/diagnostic assessment

Learners should be initially/diagnostically assessed to establish their level of ability in English and numeracy before the course commences, in order to ensure that they will be able to successfully achieve their chosen qualification(s). The initial/diagnostic assessment should also include 'learning styles' and 'skills scans', as appropriate.

The sub-contractor organisation must use current assessment tools based on the National Literacy and Numeracy Standards and core curriculum. The tools must:

- Place an apprentice's current skills levels within the Regulated Qualifications Framework levels
- Be conducted by qualified individuals including, for the diagnostic assessment, a practitioner who will structure the learner's programme of study

#### 4.7 Learner Support

Learners on programmes of study delivered by sub-contractor organisations are entitled to the same level of support as learners studying at the College. All learners should be screened for additional support needs and if any require any additional support the subcontractor organisation should inform the DEECS, who will make appropriate arrangements with learner support services.

#### 4.8 Progress Reviews

Learner progress should be constantly reviewed and recorded for the duration of their programme. Where learners are involved in classroom delivered learning programmes of more than 120 guided learning hours, their tutor must carry out a minimum of 2 formal progress reviews (within the recommended timescale). Apprentices must be reviewed every **8** weeks, with an action plan being completed every **4** weeks.

#### 4.9 Exit Reviews

All learners must receive appropriate exit guidance on completion of their learning programme. The exit review should include discussions about future destinations, further possible leads, progression opportunities and information, advice and guidance.

#### 4.10 Learning Agreements

A Learning Agreement is not necessarily a single document, but can be a collection of documents and information brought together to form a single point of reference relating to the learning that is taking place.

The employer, the learner and sub-contractor organisation must confirm the information in the Learning Agreement within two weeks of the learner's start date.

All learners must have a Learning Agreement which includes:

- Details of the learners planned programme of study
- Details of the results of initial/diagnostic assessment
- Details of prior attainment and experience (both certified and uncertified)
- Details of any additional support needed and how this is met
- Qualification and delivery details (including 'On' and 'Off' the job training and assessment arrangements)
- Information, advice and guidance
- Review of progress against targets set (planned assessment dates)
- Any changes to the programme of study
- Destination data

#### 4.11 Complaints Procedure

All learners on subcontractor provision must be made aware of the formal **complaints procedure** during induction. If a learner wishes to make a complaint then a **complaints form** should be forwarded to the DEECS for appropriate action.

#### 4.12 Appeals Against Assessment Decision





All learners on subcontractor provision must be made aware of the formal **Appeals Against Assessment Decision** procedure during induction. The completed form should be forwarded to the DEECS for appropriate action.

#### 4.13 Registers

The subcontractor must maintain accurate registers for all provision delivered on behalf of Macclesfield College in line with Skills Funding Agency rules. Subcontractors may use their own register systems with the approval of the DEECS .

## Annex 1

### European Social Fund (ESF) match funding

The ESF is one of the available funds within the European Social and Investment Funds (ESIF) 2014 to 2020 Programme. The Skills Funding Agency (the Agency) operate as an Opt-in Organisation delivering ESF activity on behalf of Local Enterprise Partnerships (LEPs). LEPs decide how to invest the ESIF for 2014 to 2020. The Agency support them to deliver their ESIF strategies. The Agency deliver a service to procure and manage contracts for (and match funding for) provision that meets the local needs identified by each LEP.

As an ESIF Opt-in Organisation, the Agency must match ESF funds contracted with money from the UK government (that is, eligible mainstream programme funds). The Agency must use some of the funding the Agency get from the government to pay for an amount of training and support that is equivalent to the ESF contract. The Agency identify activity that improves the skills of the workforce and helps people who have difficulties finding work.

The Agency must report this match funding and the associated learners within the Agency funding claims to the ESF Managing Authority in England. When the Agency identify funds as match funding, the learning activity and its associated funding become part of the ESF programme, so they are also governed by the requirements of the ESF programme.

- The College has a contract from the Agency to deliver training and support with funding from the Agency's mainstream budget, therefore the Agency will use the activity as match funding for ESF 2014 to 2020.

Bearing this in mind, the College must:

- Make sure the College and its subcontractors tell learners that they are on a programme funded by the Agency, which the Agency could use as match funding for ESF
- Keep all learner data and documents until the end of the document retention period for the 2007 to 2013 ESF programme (at least until 31 December 2022), for the 2014 to 2020 Programme (at least until 31 December 2029 but will be confirmed once the Operational Programme is approved)
- Have policies for equal opportunities and sustainable development
- Further requirements may be identified through the Operational Programme Approval process and the Agency will notify the College, when necessary.
- If the subcontractor organisation do not keep to the rules of the ESF programme, the College will break the conditions of the Agency contract and this could result in the recovery of funds.

The College and its subcontractors and other third-party organisations must not use the Agency mainstream programme funds as match funding for the Agency own projects through other European Union funds (for example, European Regional Development Fund, European Integration Fund).

The College and its subcontractors must keep all original evidence relating to invoices, management information, participant information and all other documents. This is needed to prove the College have delivered the services for seven years after the final programme payment is made by the European Commission.

The College and its subcontractors can keep physical or electronic copies of this evidence. If the College and its subcontractors keep electronic copies, the College and its subcontractors must follow the rules set out by the ESF Managing Authority.

The College and its subcontractors must make a declaration showing where the College and its subcontractors will store this evidence and who will be responsible for looking after it.

All data on participants must be accurate and up to date, and the College and its subcontractors must correct any mistakes.

The College and its subcontractors must keep to the ESF publicity rules.

The College and its subcontractors must keep to the Agency logo and design guidelines on all promotional materials or activities relating to delivering the contract, as set out on the Agency's website.

The College and its subcontractors must display the ESF logo and references to financial support from the ESF when the College describe or publicise any ESF opportunities, activities and achievements. This includes, but is not restricted to, displaying them on:

- All information and publicity materials, including websites, communications sent over the internet, correspondence and literature used by participants
- Advertisements, press releases and other media-targeted materials
- All documents that are used with participants and partners, for example, enrolment documents, training materials, individual learning plans (ILPs), attendance records and internal certificates
- The College and its subcontractors must display any ESF posters prominently at all of the Colleges', subcontractors' and employers' premises.

The College and its subcontractors must co-operate with any programme-level evaluation projects led by the Department for Work and Pensions' (DWP) ESF division or their appointed consultants who contact the College directly.

The College and its subcontractors should be aware that the provision may be audited by agencies of or acting on behalf of the ESF Managing Authority or the European Commission (EC) after the delivery has finished.

If the College are chosen as part of an ESF audit sample – for either ESF or match provision – the College and its subcontractors must supply all the evidence to support ESF or match activity that external ESF auditors want to see.

If the College are chosen for an audit visit, the College and its subcontractors must allow external auditors into their premises and co-operate with the audit.