

# Contract Management Plan – Subcontracting

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## SECTION 1

### 1.1 Purpose of the contract management plan

The purpose of this plan is to outline the expectations the College has when entering into a subcontract agreement for the whole life of the contract. Ensuring all partners meet the exacting standards set out in this guide. Any subcontracted provision should ensure a high-quality learner experience, delivering outstanding teaching, learning and assessment, stretching and challenging learners to succeed and progress onto higher learning or employment.

#### **Excellence through Learning**

Colchester Institute is committed to driving forward educational success in further and higher education. We are extremely passionate about raising the aspirations, knowledge and skills of individuals, communities and businesses in Essex and beyond.

Excellence through learning is at the heart of what the college does. Excellence is what we do and is what we support others to attain. Colchester Institute will enable the highest levels of learner achievement and the highest levels of career and life fulfilment, through learning that will stretch and challenge.

Excellence is what customers, businesses and other organisations can expect to achieve themselves through working with the college.

Colchester Institute continues to strive to be celebrated as an outstanding provider of education and training in the eastern region, recognised for its significant contribution to the social and economic recovery of individuals and organisations following events of 2020.

Colchester Institute has a 3-year strategic plan with 10 goals that will help us achieve this mission. View this plan [here](#).

## 1.2 Contract Management - Roles & Responsibilities

Role / Contact	Area of responsibility	Specific responsibilities in relation to subcontracting
Governing Body	Responsibility for the overall College	Approval of Subcontractors Strategic relationships
Principal and Chief Executive	Overall responsibility for the College	Approval of Subcontractors Strategic relationships
Vice Principal: Student Services and Support	Student Services, Additional Learning Support, Marketing	ALS, Safeguarding, Equality, Diversity and Inclusion
Director of Finance	Finance	Accounts, payments
Director of Apprenticeships and Business Solutions	Apprenticeships, Functional Skills and Commercial Business	Strategy, oversight of apprenticeships, employer engagement, Contracts
Head of Funding and Information	Apprenticeships, Adult and 16-19 provisions	Apprenticeship, ASF/NSF and 16-19 funding management, contracts, compliance, quality, data management and audit, due diligence
Quality Enhancement Officer	Quality in Apprenticeships	Observation of teaching, learning assessment and learner and employer experience, subcontract management
Data and Contracts Officer	Compliance and Funding, Apprenticeships	Enrolment / eligibility compliance checks, audit compliance, due diligence
Employer Account and Customer Service Manager	Business Development activities	Employer relationship management
Apprenticeship Admin Manager	Applications, App vacancies, Initial Assessment	Application and enrolment management including talent pool, initial assessment, eligibility and EPA management
Bids and Projects Manager	Procurement/Tenders	Procurement, Tender and Project applications
Curriculum Area Heads	Quality, oversight, curriculum development	Quality, oversight, curriculum design

## Section 2 – Contract transition - Selecting and approving subcontracting Subcontractors

### 2.1 Selecting a Subcontractor

The College recognises that delivery Subcontractor provision can play an important role in providing a broad and flexible mix of provision for learners, employers and the wider community.

The key principles of selecting a new Subcontractor are whether they fit with the aims and goals of the College in relation to at least one or more of the following:

- Fill gaps in niche or expert provision or provide better access to training facilities.

In order to approve the selection of a new subcontractor, the College will review:

- The quality of provision from delivery Subcontractors and their ability to achieve outstanding success.
- Past performance of delivery Subcontractors and a track record of high success
- The sound financial health of delivery Subcontractors.
- Compliance to Government and funding agency targets, priorities, and regulations.

Currently Subcontractors may not further sub-contract provision. (This is referred to as **2<sup>nd</sup> Tier Sub Contracting**, which the College will not enter into)

### 2.2 Contract Due Diligence

To comply with the Education and Skills Funding Agency funding rules, the College will need to be reassured that Subcontractors satisfy the following key elements of which are:

- The College is able to ensure that learners are enrolled (or rejected if applicable) on appropriate programmes in the name of the College not the Subcontractor(s)
- The College is satisfied (through a direct observation where possible) that the quality of provision is of the highest standard
- The College has measures in place to ensure it is not funding higher risk organisations or organisations involved in extremist activities. **See appendix 1a**
- The provider has the capability and capacity to deliver to the tender specification

- There is a written learning agreement, entered into at the time of enrolment which is prepared and agreed with each learner and that reflects the outcome of the learner's initial guidance and assessment, and any learning support to be provided
- A learning programme and its means of delivery have been clearly specified by the College
- There are arrangements for assessing the progress of individual learners
- Adequate measures are in place to ensure the health and safety of learners
- Procedures exist for the College to regularly monitor the quality and delivery of programmes
- The subcontractor complies with the Modern Slavery Act 2015 and has in place throughout the Agreement Period policies and procedures to ensure full compliance

To ensure compliance with these elements the Pre-Qualified Questionnaire is a key source of information for new Subcontractors. **See Appendix 1** for entering a subcontracting arrangement with a new and existing Subcontractor. **See Appendix 2** for the Pre-Qualified Questionnaire checklist summary of documents to return.

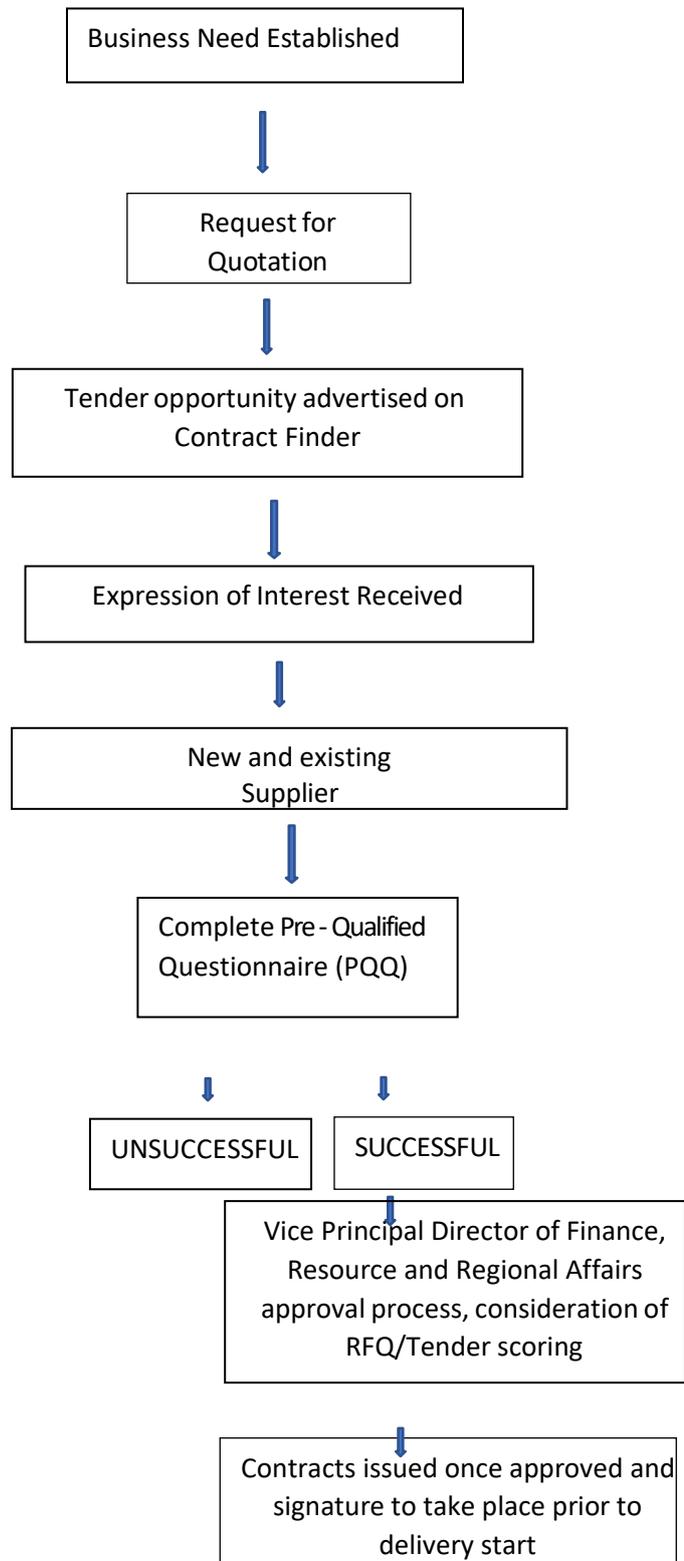
If 16-19 provision ensure Whole Programme Subcontracting approval sought from the ESFA in advance of contracting.

The College ensures it remains below the 25% 2024/25 threshold for subcontracting per ASF or 16 to 19 excluding apprenticeships

Other Independent sources of information about potential and existing providers include:

- Ofsted inspection reports ([www.gov.uk/find-ofsted-inspection-report](http://www.gov.uk/find-ofsted-inspection-report) )
- Register of Apprenticeship provider and assessment register [\(APAR\)](#)
- UKPRN (<https://www.ukrlp.co.uk/>)
- Companies House [Companies House - GOV.UK \(www.gov.uk\)](#)

# Selecting a Subcontractor/Due Diligence process Flowchart



Colchester Institute

Colchester Institute has an obligation to ensure value for money from its external expenditure therefore the decision to award contracts will usually be based upon the most economically advantageous tender which will take into account a number of factors including price, quality, sustainability, social value and running costs to establish the full life cycle costs. Tenders will usually advise what criteria will be used when selecting a supplier.

Colchester Institute will endeavour to advise all those who have quoted the outcome of a tender process. Prior to submitting a quote, it is important that you read all of the tender documentation to ensure that you fully understand our requirements, the specification for the goods or services and the timescales involved.

This Pre-qualified questionnaire will be reviewed by the Director of Apprenticeships and Business Solutions, who will decide whether to issue contracts, the scoring from Request to Quotation and Tender is also considered at this point.

The scoring criteria for tender approvals is:

- Price dependent on actual cost - 20%
- Maintain Quality of provision to ensure high quality and low risk to public funds - 65%
- Timescales for Completion - 15%

The engagement and management of delivery Subcontractors will be carried out by the Quality Enhancement Officer and Director of Apprenticeships and Business Solutions.

## Section 3 – Contract Compliance

### 3.1 Audit & Data compliance

A key element of the audit trail is the process undertaken to sub contract. To this end the following evidence is required:

- Details of sub-contract, which includes the:
  - What is the nature of the provision and the contractual relationship
  - Data sharing protocols
  - Ensuring the College, the appointed auditors and the Education Skills Funding Agency have access to all information
- What is the rationale behind the College’s decision to appoint a sub-contractor

The Education and Skills Funding Agency have the right to audit all documentation in relation to the subcontracted provision. A satisfactory audit is essential to avoid loss of funding through claw back or termination of contracts. The College’s audit principles include:

- All paperwork from Subcontractors must be originals
- PDSATS will be used to test integrity of data submitted by the Subcontractor

Controls to ensure no double funding include:

- Gaining information on other prime contractors at due diligence stage
- Personal Learner Record checks/Regular PDSATS testing

The Data and Contracts Officer and the Apprenticeships Administration Manager will ensure the relevant teams undertake the audit compliance and funding checks required throughout the life of the contract and at key ILR submission dates.

### 3.2 Contract Compliance

Apprenticeships:

In order to ensure we have up-to-date contracts each year we review our contract as part of the annual external audit carried out by Scrutton Bland. Contracts will be issued as follows which indicate the terms and conditions required.

16-19 Provision/Adult Skills and National Skills Fund:

Colchester Institute will provide an up-to-date subcontracting contract for our 16-19/Adult and National Skills Funding. Originals of all subcontractor contracts will be held centrally in the Executive Office and will be signed by the Principal and Chief Executive.

All subcontracts will need to ensure that they:

- Meet the agreed educational needs
- Are achievable and affordable
- Address the desired outcome(s) of the subcontract, the possible alternatives, including existing contracts, the risks including the extent and where they may fall,
- Identify any contingent needs and ramifications of proceeding
- Meet the Data Protection Laws to maintain the security of processing and storing data and
- follow the requirements of the relevant funding rules. **See appendix 3** ESFA Guidance on sub-contracting

The Quality Enhancement Officer will ensure all contracts are monitored regularly throughout the whole life of the contract.

### **3.3 Contract Fees & payment**

As part of the College's funding agreement with the Agency, the College is required to submit details of sub-contracting arrangements by submitting a returning the '**Subcontractor Declaration**' on the Skills Funding Service website.

All Subcontractors will have a standard profile of payments throughout the term of the contract, all invoices will be paid within 30 days. Payments are signed off by the Head of Funding and Information.

### **3.4 Funding rules compliance**

**Apprenticeships:** The college will continue to deliver a substantial proportion of the apprenticeship programme and will continue to always maintain the employer relationship

**All funding models:** We reserve the right to take appropriate action in line with the funding higher risk organisations policy, not only if we deem it is necessary, but also where ESFA requires us to take appropriate action

Management fees will be set according to the level of risk associated with the Subcontractor. The Subcontracting Policy includes a list of all the services we will provide and the associated costs for doing so. This will include a list of individually itemised, specific costs for managing the subcontractor, specific costs for quality monitoring activities and specific costs for any other support activities offered.

Management fees cover the costs of the below:

- The College provides a Contract Manager to manage the relationship with the subcontractor.
- The College provides a Quality Assurance and Teaching & Learning Lead to ensure that the quality of subcontractor's delivery meets its expectations and to support the continuous improvement of the subcontractor's provision.
- The College provides administration support to ensure the timely recording of learner

information on the College's ILR.

- The College undertakes a regular and substantial programme of quality assurance checks on the education and training provided by subcontractors, including visits at short or no notice and face-to-face interviews with staff and learners. These checks include whether the learners exist and are eligible, and involve direct observation of initial guidance, assessment and delivery of learning programmes. Where required arrangements are implemented to provide internal verification support to the subcontractor.
- The College ensures that all of the subcontractor's delivery meets the Education & Skills Funding Agency's Funding Rules.
- The College ensures that any Apprenticeship provision delivered by subcontractors meets all of the required standards and specific ESFA funding rules.

Also included in the contract is a description of how each specific cost is reasonable and proportionate to the delivery of the subcontracted teaching or learning and how each cost contributes to delivering high quality learning.

The subcontracting fees and charges policy is available via the following link: [Policies](#)

### [Procedures and Reports](#)

#### **3.5 Policies**

Subcontractors will be asked to supply a copy of their policies as listed in the due diligence form. These will be checked by qualified staff within the organisation to ensure current and up-to-date. This will include but not limited to, Health and Safety, Safeguarding including prevent/extremism, Equality & Diversity, Complaints, Quality Assurance, GDPR, Business Continuity, Modern Slavery Act 2015.

Subcontracting partners need to ensure they are up-to-date with and have read Keeping Children Safe in Education where 16-19 learners are studying with them. As well as ensuring learners have information about and access to 16-19 Bursary and other student support funding, information, advice and guidance and access to learning support if required.

[Keeping children safe in education - GOV.UK \(www.gov.uk\)](#)

#### **3.6 Communication Strategy**

The main principles of communicating with Subcontractors are in line with Relationship Charter:

- ✦ Regular scheduled meetings set up
- ✦ Subcontractor provides a named contact to the College
- ✦ Notes / minutes of meetings kept on file and shared with Subcontractor
- ✦ Records of e-mails, correspondence etc. kept on file
- ✦ Data provided on request/or as and when required for audit monitoring/funding reporting

purposes in regular meetings.

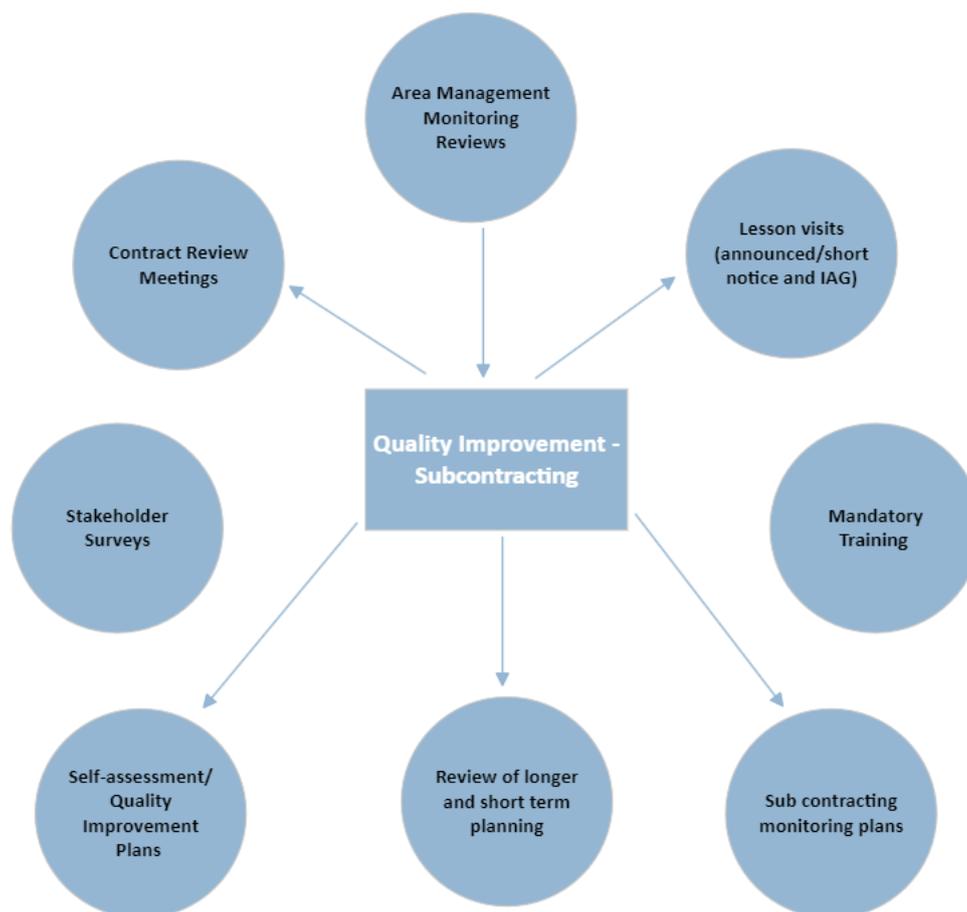
### **3.7 European Social Fund**

In order to comply with ESF funding rules. All subcontractors will be required to have an Equality and Equal Opportunities policy, and a Sustainable Development Policy.

Subcontractors will also be expected to display the ESF funding plaque in all their delivery premises.

## Section 4 – Contract management - Performance

### 4.1 Contract Quality Assurance Process



#### a) Performance Monitoring Framework

This cycle of performance monitoring scrutinises performance against contractual key performance indicators: attendance, achievement, retention benchmark statistics, learners at risk, quality around teaching, learning and assessment, CPD, safeguarding training, learner and employer satisfaction and financial health. **See Appendix 4**

Continuous monitoring will take place throughout the academic year. A central filing system is in place to record and evaluate the quality of delivery. Quality review meetings are held internally each term and will capture the action points from minutes of meetings and the external exam boards. Any actions required will be shared with the subcontractors including external body reports. See Our central system for quality assurance includes:

- Records of learners
- All correspondence internal/external
- Links to the relevant award boards covering quality assurance/specifications/forms
- Minutes of meetings internally and externally
- Standardisation meeting minutes
- Risk assessment/recommendations
- Action plans internal/external

- Organisational charts for verification purposes
- Development activities ESFA standards
- Improvement action plans

#### b) **Lesson visits and observations**

As per our internal policy Learning and Teaching Observation, lesson observations will be carried out to observe teaching and assessment to ensure that all teaching, learning and assessment meets the requirements of OFSTED, awarding organisations, and professional standards. Scheduling of observations will be carried throughout the academic year. Two observations will be carried out for subcontractors, one announced which will be a paired observation between the Quality Enhancement Officer and Subcontractors and one short notice themed learning walk. The following criteria will be recorded on the subcontractors learning observation report form which will be shared with the staff member being observed. This provides constructive and supportive feedback with an action plan for improvement or actions for further training/CPD if required.

Please note that support meetings are available in addition to the observations when required. Any meetings held will be minuted and shared with the subcontractor providing actions if required and monitored internally to evaluate if further training for staff is required.

#### **The observation criteria to include evidence to be observed and recorded:**

- Observation of initial guidance to learners
- Observation of teaching, learning and assessment
- Observation of scheme of works and lesson plans
- Interviews with staff including feedback and training requirements if applicable to support their delivery and development of the courses
- Interviews with learners which will provide feedback on their experience of the course delivery to support any further action required for improvements

**See Appendix 5** for the observation form

#### c) **Annual Quality Assurance Compliance Audit**

The audit will seek to provide assurance regarding the subcontractor's quality processes and procedures, with a specific focus on minimizing risks. The audit findings will be categorized into nine main areas: Conflict of Interest, Financial Health and Insurance, Marketing, Disclosure and Barring, Human Resources, and General Data Protection Regulation (GDPR), Company Policies, Information Advice and Guidance, Apprentice Progress-Planning for Learning and Progress and Continuous Improvement.

Each category will undergo a meticulous assessment, resulting in the assignment of risk ratings. Moreover, the audit report will identify specific actions or recommendations to be implemented to address areas requiring improvement or mitigate potential risks.

The "Summary of Activity" section of the report will concisely present the audit's findings, highlighting significant developments and exemplary practices observed during the evaluation. **See Appendix 6** for the annual compliance requirements.

#### d) **Development Activities**

To enhance relationships with subcontractors, we will focus on improving performance and capability. This involves:

- Identify the specific skills, services, and capabilities required from subcontractors.
- Understanding the subcontractor's motivations and align development activities with both our goals and theirs.
- Engaging in joint activities such as process improvement and shared training for mutual benefit.
- Supporting operational performance improvements like Lean and 6-sigma initiatives.
- Contributing to wider government initiatives, including sustainability and employment diversity.
- Developing initiatives to identify, manage, and mitigate potential risks that could negatively impact both parties.
- Participating in shared management activities to drive performance improvement.

**e) Self-Assessment Report (SAR) and Quality Improvement Plan (QIP)**

The Self-Assessment Reviews (SAR) and Quality Improvement Plans (QIP) will draw upon various sources of information, including Performance Improvement Reviews (PIRs), departmental reflection, analysis of attendance, achievement, and retention data. Additionally, platforms will be utilized to capture comprehensive student feedback throughout the entire duration of the contract.

Through these rigorous processes, the subcontractor is committed to proactively evaluating its performance, pinpointing areas in need of improvement, and devising strategies to elevate the quality of its subcontracting provision. This approach ensures an unwavering dedication to delivering exemplary educational services.

**f) Mandatory Training**

As part of the subcontractor's requirements, it is mandatory for personnel to successfully complete a series of online training courses. These courses encompass vital topics such as Safeguarding, Preventing Radicalisation, Responding to sexual Violence, Inclusion Essentials, Information Security and Health and Safety. The successful completion of these courses ensures that personnel possess the necessary knowledge and competence in the applicable practices and procedures. By adhering to these mandatory training requirements, the subcontractor aims to create a secure learning environment that prioritizes the physical and emotional wellbeing of learners, while also addressing safeguarding concerns.

## Section 5 – Contract Termination and dispute resolution

### 5.1 Termination of sub-contracting provision & managing disputes

#### 5.1.1 Disputes and problem resolution

Provision for resolving disputes is contained within the contract. This sets out how disputes will be resolved and the escalation procedures followed.

In the event of a complaint by the subcontracting partner they can submit via the following link:

[Colchester Institute Complaints Form](#)

#### 5.1.2 Termination:

Provision for termination of a contract is contained within the contract

#### 5.1.3 Continuity of contract and delivery

The college will undertake all reasonable steps to ensure the viability and continuation of any contractual arrangements with sub-contractors' provision. Due diligence undertaken is robust enough to ensure the risk of failure of a sub-contractor's ability to deliver under its original contract terms is low and mitigated as far as possible through regular quality audits, annual financial review and regular contact with the Contracts Manager. In the unlikely event of a subcontractor failing to deliver the college will either pick up delivery through its own means or facilitate transfer to another provider.

#### 5.1.4 Contractual changes

All contract variations during the whole lifespan of the contract will only be authorised by the principal or delegated authority following discussion and approval from the Vice Principal Director of Finance, Resources and Regional Affairs. Copies of signed contract variation agreements will be kept on file in the Executive Office.

#### 5.1.5 Whole life oversight

The definition of whole life / whole programme oversight is deemed to include all aspects of a learners programme as detailed in their enrolment/learning agreement and/or Training Plan if an apprentice including End Point Assessment.

Subcontractors delivering apprenticeship provision are not permitted to deliver the entire programme and an agreement as to the elements that make up the subcontract will be agreed in advance and outlined in the contract schedule.

# Appendices

Table 1: Data Submission Deadlines

1. Pre-Qualified Questionnaire
  - 1a. Extremist Organisation assessment form
2. Pre-Qualified checklist summary
3. ESFA Guidance on sub-contracting
4. Performance Monitoring framework
5. Observation Form
6. Annual Quality Assurance Compliance Questionnaire
7. Contingency Plan for Continuity of Delivery

**TABLE 1: Data Deadline Schedule 2024/2025**

Each month data is sent to the ESFA in order to provide up-to-date funding data, it is the requirement of the subcontractor to ensure they provide any updates to data in a timely manner and ensure their registers are kept up-to-date in order for us to monitor the learners effectively and to ensure funding is claimed accurately. When the final ILR is submitted this is the final opportunity to ensure the data is correct. It is essential the data remains up-to-date in order to ensure the ESFA Declarations are accurate.

<b>Return Period/Month</b>	<b>ESFA ILR Deadline Date</b>	<b>Enrolment Start Month</b>	<b>Latest date to ensure paperwork/amendments are included in the next available ILR</b>
R01	05.09.24	August	<b>22.08.24</b>
R02	04.10.24	September	<b>19.09.24</b>
R03	06.11.24	October	<b>21.10.24</b>
R04	05.12.24	November	<b>21.11.24</b>
R05	07.01.25	December	<b>16.12.24</b>
R06	06.02.25	January	<b>23.01.25</b>
R07	06.03.25	February	<b>20.02.25</b>
R08	04.04.25	March	<b>19.03.25</b>
R09	07.05.25	April	<b>16.04.25</b>
R10	05.06.25	May	<b>21.05.25</b>
R11	04.07.25	June	<b>18.06.25</b>
R12	06.08.25	July	<b>23.07.25</b>
R13	12.09.25	Aug	<b>End Aug 25</b>
R14	23.10.25	Final return	<b>End Sept 25</b>

**Notes for completing your PQQ**

Before you begin completing this PQQ, please ensure you have thoroughly read the Subcontracting Fees and Charges Policy. Please ensure you read any subsequent communications, including, but not limited to, amendments to the process.

Do not leave your response to the last minutes/hours before any stated deadlines. If you experience problems and are unable to submit your response by the stated deadline, your response will not be considered in respect of any Invitations to Tender (ITTs) relating to the deadline, and you may not be invited to tender.

CI will only subcontract to a legal entity. Please ensure that at all times, all information provided relates to the entire legal entity that is responding to this PQQ.

The PQQ process includes verifying your organizational details. Please take care when entering your organizational details and ensure that all information is reflective of the entity that is applying. If we are unable to verify your details, there is a risk that your application will not be evaluated.

When responding to a question, please ensure that your answer only includes the information requested. Additional information is not reviewed. If any questions are not applicable, please type or select 'NA' in the box provided.

Any questions relating to this PQQ should be sent to heather Duguid via [heather.duguid@colchester.ac.uk](mailto:heather.duguid@colchester.ac.uk)

**COLCHESTER INSTITUTE**  
**SUBCONTRACTED 2024/25**  
**Pre-Qualified Questionnaire**

<b>Name of Subcontractor</b>	
<b>Compiled by</b>	
<b>Date</b>	

**Please complete this pro-forma questionnaire and upload the attachments (below) in accordance with the instructions provided.**

**You are reminded this is a competitive process and this document forms the basis of the due diligence assessment of potential subcontract delivery. Therefore, expansive details of the organisation and plans for delivery are required.**

- Copies of audited Financial Statements (or Management Accounts) for last two full years of trading
- Management and staff structure and contact details
- OFSTED Report
- Most recent Self-Assessment Report
- Most recent External Moderators Reports
- Matrix accreditation certificate
- Health and Safety Policy
- Relevant Policies
- List of DBS Checked Staff
- Relevant Insurance policies

## Section 1 Company Information

<b>Company name</b>											
<b>Company website</b>											
<b>Company Directors/Partners as stated at Companies House</b>											
<b>Number of years in business</b>											
<b>Organisation type</b>											
<b>Company number (if applicable)</b>											
<b>Is your company a subsidiary of another company? If so, please state the name of the holding company?</b>											
<b>Vision, Mission and Strategic Objectives</b>											
<b>Daily point of contact for funding queries:</b>											
<b>Please confirm details of all other ESFA contracts held currently either as prime or subcontract. Please state length of time such agreements have been held.</b>											
<table border="1"><thead><tr><th>Name of Contract Holder</th><th>Type of Delivery (e.g. 16-18 Apprenticeships)</th></tr></thead><tbody><tr><td></td><td></td></tr><tr><td></td><td></td></tr><tr><td></td><td></td></tr><tr><td></td><td></td></tr></tbody></table>		Name of Contract Holder	Type of Delivery (e.g. 16-18 Apprenticeships)								
Name of Contract Holder	Type of Delivery (e.g. 16-18 Apprenticeships)										
<b>Please advise if you have been involved in any Ofsted inspections through these subcontracts and the grades attained.</b>											

## Section 2 Financials

Please provide a copy of your most recent full year audited financial statements, or latest management accounts showing the last 2 years trading. Please provide a brief comment on this submission. Please note Credit Checks will be carried out by the lead contract holder.

Score out of 5

### Section 3 Funding Allocation and Achievement

Please provide details on your organisations achievement rates for academic years, 2021/22 2022/23 and 23/24

Agree funding allocation – To be determined at the contract stage

Score out of 5

### Section 4 Proposed Delivery for 2024/25

Please state:

- Which portions of the apprenticeship you are applying for a subcontract
- Your experience and achievements in delivering the above portions
- Your ability to potentially grow in these areas should demand increase
- Your focus on Teaching & Learning in line with the Education Inspection Framework
- Staffs Technical and Teaching CPD

Score out of 5

### Section 5 Business Plan and Service Approach

**Please detail your company's delivery plan proposal, in support of the portions of the apprenticeship for which you are applying for a subcontract and explain.**

Score out of 5

**Please explain how your delivery plan proposal aligns with Colchester Institute's strategic goals as outlined in the attached subcontracting policy.**

Score out of 5

**Please provide details of your anticipated approach to effective communications with the lead contract holder, including proposed monitoring feedback, dispute resolutions, employer surveys, learner voice data, and contract meeting attendance.**

Score out of 5

**What experience and competence do you have in the delivery and management of teaching and learning?**

Score out of 5

**Please specify the number of qualified employees dedicated to the delivery of teaching and learning.**

Score out of 5

**Please include a copy of your company staff structure and add comments on staff's responsibilities.**

Score out of 5

**Describe how you communicate with learners and employers to achieve and monitor high levels of satisfaction.**

**Please describe what actions you have taken to ensure you meet the General Data Protection Regulations that came into effect on the 25<sup>th</sup> of May 2018? What measures are in place to test these processes?**

Score out of 5
<b>Who is your named Data Protection Officer?</b>
Score out of 5

**Section 6 Provider Development**

<b>Please explain process in place that clearly set out how development activities will be planned, managed, and governed.</b>
Score out of 5
<b>Please provide examples of your company’s improvement activities relating to wider government initiatives and social values.</b>
Score out of 5

**Section 7           Learner Welfare, Child Protection, Safeguarding, Equality & Diversity, PREVENT, British Values, Peer on Peer abuse and DBS**

<b>Please detail your understanding of learner welfare, Child Protection, Safeguarding, Equity, Diversity and Inclusion, PREVENT, British Values and Peer on Peer Abuse and how is this implemented in practice?</b>
<b>Please advise the contact details of the nominated Safeguarding and Child Protection Officer?</b>

Score out of 5
<b>Please confirm all staff have been trained in Safeguarding, PREVENT, Equality &amp; Diversity, British Values and Peer on Peer Abuse or confirm your acceptance to achieving this within 2 months from the start of the contract? Please describe what training has been given?</b>
Score out of 5
<b>Please confirm that a Single Central Register is maintained, and when this was last updated. Please state how frequently DBS checks are refreshed for existing staff.</b>
Score out of 5
<b>Please detail how staff and learners are updated on Safeguarding, PREVENT, Equality &amp; Diversity, British Values and Peer on Peer Abuse changes.</b>

## Section 8 Quality and Accreditation

<b>Do you currently hold Approved Centre Status with a nationally recognised Awarding Body? Please state which awarding bodies and subject areas you wish to deliver through this subcontract. Please add date acquired.</b>
Score out of 5
<b>Please include copies of your recent external moderators visits and the dates of visits. Please place any comments here.</b>
Score out of 5
<b>For organisations who do not hold a Matrix accreditation Please how you ensure staff give effective information advice and guidance to others.</b>
Score out of 5

## Section 9 Health and Safety

<b>Please outline how you demonstrate compliance with the latest Health and Safety legislation,</b>
Score out of 5
<b>Please provide copy your organisations Health and Safety policy. Please state your commitment to, and arrangements for learners, a health and safety policy work in practice and help create a 'safety culture' and 'safe learners'.</b>
Score out of 5
<b>Provide a statement of your organisation's accident record of the last year. State the number of accidents at your centre(s) including those notifiable under RIDDOR (Reporting of Incidents, Diseases, and Dangerous Occurrences Regulations 1985 (SI 1985 No. 2023)) in the past 12 months.</b>
Score out of 5
<b>Please state contact details of the nominated person responsible for Health and Safety.</b>
Score out of 5

## Section 10 Insurance

<b>Please confirm details of the following policies; Employer liability, Public liability and others as legally required. Please provide copies of insurance certificates</b>
Score out of 5

## SECTION 11 DECLARATIONS

To: Mrs A Drew

Director of Apprenticeships and Business Solutions  
Colchester Institute  
Sheepen Road  
Colchester  
Essex CO3 3LL

Dear Amanda,

**Subcontracted Apprenticeship Delivery 2024-25**

I have read the information provided in the Pre-Qualified Questionnaire and subject to and upon the terms and conditions contained therein we offer to supply the services described in the said contract documents in accordance with the additional information supplied.

I have the authority to make commercially binding offers on behalf of the organisation represented in this application.

I acknowledge that should any part of the requested mandatory information be absent from our response either emailed or mailed, Colchester Institute will have no option but to exclude our submission from the exercise.

I further acknowledge that for a formal offer of contract to be upheld, our organisation must be approved and added to the Apprenticeship Provider and Assessment Register previously known as the Register of Apprenticeship Training Providers.

**Please provide the date in which you entered onto the register .....**

Dated this ..... day of .....2025

Signed .....

On behalf of .....

Address .....

.....

Telephone No. ....

Email address.....

**Thank you for your co-operation.**

**Colchester Institute – 2024/25 Assessment that Subcontractor is Not an Extremist Organisation**

Subcontractor Name:

Date of Assessment (must be prior to the contract being issued, completed as part of the PQQ):

Assessment carried out by: Colchester Institute

<b>Assessment Evidence</b>	<b>Details</b>
OFSTED Report	
Policies – (Safeguarding & Prevent Policies)	
Existing Relationship	
Existing Reputation	
<b>Summary</b>	

- Management Hierarchy /Chart
- Audited Accounts for last three years
- Latest Management Accounts
- Insurance Policies
- Company staff structure chart
- Copy of relevant policies
- Copies of any relevant documents (permits/registrations/licences etc)
- Copy of any relevant Quality Accreditations
- External moderation reports
- OFSTED report
- Copy of latest SAR/QIP

1.1 The College is obliged to provide the Services to the ESFA in accordance with the Funding Requirements. The Subcontractor shall therefore deliver the Services to the College as the College's Subcontractor and in accordance with the latest versions of the Funding Requirements:

1.1.1 The ESFA's:

- (a) Subcontracting rules (2024-25)  
<https://www.gov.uk/government/publications/subcontracting-funding-rules-for-esfa-funded-post-16-funding-excluding-apprenticeships/subcontracting-funding-rules-for-esfa-funded-post-16-funding-excluding-apprenticeships>
- (b) Apprenticeship funding and performance-management rules for training providers Aug 2024 – July 2025  
[Apprenticeship funding rules - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/apprenticeship-funding-rules-2024-25)
- (c) Adult Skills Budget: Funding and Performance management rules, For the 2022-2023 funding year  
[Adult skills fund: funding rules 2024 to 2025 - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/adult-skills-fund-funding-rules-2024-25)
- (d) ESFA Subcontracting controls; [ESFA subcontracting standard - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/esfa-subcontracting-standard)

Financial guidance

[academies](#)

[college financial plans](#)

[college accounts directions](#)

[Subcontracting post-16 education and training for the first time - GOV.UK \(www.gov.uk\)](#)

[Funding higher risk organisations and subcontractors policy - GOV.UK \(www.gov.uk\)](#)





## Subcontractor Contract Performance Management Plan 2024 2025

Owner: Quality Enhancement Officer – Heather Duguid

Risk and Quality Assurance Compliance

Calendar Month	Type	Reason	How the process will be conducted
30 <sup>th</sup> May-16 <sup>th</sup> June 24	+* Pre contract process begins	To help with due diligence assessment of potential subcontract delivery.	Vendor/existing subcontractor to submit an acknowledgement of an acceptance of the process and invited to tender
23 <sup>rd</sup> June 24	+* Pre contract		Vendor/existing subcontractor to submit PQQ and declaration form to enter a new contract year
26 <sup>th</sup> – 27 <sup>th</sup> June 24	+* Pre contract outcome		Completion of scoring assessments and financial checks Notification of contract award/offer
End of June & July 24	+* Review of new contract	Parties to identify and request needed changes before signature. Examine everything is stated clearly and accurately, without errors or discrepancies. To reduce the legal and financial risk involved.	Via New Contract Meeting. Attendees: SC, AD, MT, AP, HD & SCa.
End of Sept 24	* Self-Assessment Report (SAR)	To help with evaluating or assessing overall risk. To self-assess performance against the EIF and to plan future improvements.	Subcontractor to update SAR and Quality Improvement Plan (QIP) for 23/24. Send documents to HD for moderation and feedback.
Every Month	Programme Management Review	Decision and solutions on tackling learner engagement and timescales on completion.	Attendees: SC, AP, & SCa
Every 6 weeks	Apprenticeship Management Meeting (AMM)	Decision and solutions on tackling learner engagement, challenges/barriers	Six meetings per annum. Attendees: AP, HD, AD and MT

<p>Oct, Feb &amp; Jul (3 per annum, themed)</p> <p>Monthly</p>	<p>* + Contract Review data meetings to review actual &amp; predicted success rate data.</p>	<p>Assess performance against contractual Key Performance Indicators: Financial health, predicted success rates, new starts, learners at risk, progression, teaching and learning delivery, safeguarding, CPD, learner and employer satisfaction etc. To check funding risks, to ensure SC is adhering to ESFA rules. Review progress against QIP targets.</p>	<p>Three meetings per annum. Attendees: SC, HD/AD and MT Themed agenda sent in advance of each meeting.</p>
	<p>+QIP update</p>	<p>To promote continuous improvement against measures and improve efficiency and effectiveness in the service.</p>	<p>This is a desk-based activity for the SC. Each month the SC to review and update progress on the QIP/Business Plan. The SC will provide an update at the contract review meetings.</p>
<p>March 25</p>	<p>* Annual Quality Assurance Compliance Audit</p>	<p>To provide assurance of the SC's quality processes and procedures are low risk. To detect and correct problems.</p>	<p>This is a desk based or site visit. A checks list of audit evidence requirements to be sent to the SC in advance of the audit. HD to review the SC's records and documents (paper documents or electronic files) and assess whether the SC meets all the necessary regulatory requirements.</p>
<p>March -April 25</p>	<p>* + Conduct paired teaching and learning observation</p>	<p>To ensure that all teaching, learning, and assessment meets the requirements of Ofsted, Awarding Organisations, and professional standards. To improve teaching practices and learner performance.</p>	<p>Place and date for the observation are agreed between CI and SC. Tutor's teaching and learning resources to be shared with HD prior to the start of the session. The observations will last at least 40 minutes and no more than one hour. HD and SC quality lead will form a fair judgment of the delivery. Outcome of the observation will be summarised in a short report followed by an action plan.</p>
<p>July-Sept 25</p>	<p>* Conduct re-observations if required. This will be based on previous observation outcomes/ learners' voice/attendance data and other key performance indicators.</p>		

### Available all year round

<p>*Mandatory online training courses: Preventing Radicalisation, Safeguarding, GDPR, Inclusion Essentials, Health and Safety, Responding to Sexual Violence and Harassment, ILT Online Safety, Information Security</p>	<p>To ensure such practices, and procedures are used and understood. To provide a safe environment for learners to learn in. (Physical, emotional wellbeing and safeguarding)</p>	<p>CI to send login details for new SC staff to complete mandatory online training courses within 21 days of their start date. Copy of certificate or screen shot of completion to be sent to HD. Persons who can provide evidence of current training (within the last 12 months) for any of the mandatory topics are exempt from completing CI courses.</p>
<p>Joint improvement activities and activities relating to wider Government Initiatives For example, 'Lean' and '6 sigma', sustainability, disability employment issues, use of SME Small and Medium Enterprises and BMEs (Black Minority and Ethnic suppliers)</p>	<p>To improve performance and capability</p>	
<p>* Subcontractor feedback</p>	<p>The focus is to make better decisions, identify risks, stop repeating problems and to increase satisfaction to build a healthy business relationship.</p>	<p>CI will gain feedback from SC at programme and contract review meetings. CI actions will be communicated as and when and monitored by AD/HD.</p>
<p>+ Conduct one short notice themed learning walk (Arise from SAR, QIP, learner, and employer feedback)</p>	<p>To find out about the normal experience of learners and delivery staff. To ensure that all teaching, learning, and assessment meets the requirements of Ofsted, Awarding Organisations, and professional standards. To improve teaching practices and learner performance.</p>	<p>Place and date for the learning walk is communicated to SC. Before a learning walk, HD will identify a theme or question that the walk will address. Outcome of a learning walk will be summarised in a short report followed by an action plan.</p>

**Key**

\* Focus on risk management

+ Focus on contract management and compliance

**Personnel involved in Contract Performance Management Plan**

Director of Apprenticeships and Business Solutions, Amanda Drew (AD)

Quality Enhancement Officer, Heather Duguid (HD)

Area Head Professional Apprenticeships, Aaron Parkes (AP)

Data and Contracts Officer, Michelle Tyler (MT)

Head of Funding and Information, Steven Carter (SCa)

Subcontractor (SC)

**Appendix 5**

**Observation Form**

Tutor/Assessor name:			Observer name:	
Paired Obs		Yes/No	2nd observer name:	
Date of session:			Number of learners:	
Course Title			Session Segment	Start/Mid/End
Session Objective				
Session mode of delivery		Online		Face to face
CI7	Session Planning*			
1	Positive Learning Environment (Basics)			
2	Aim High (Expectations/challenge)			
3	Individualised planning and targets			
4	Questioning			
5	Recall and Review			
6	Feedback			
7	Progress (Development of skills and learning)	Strong/Reasonable/Limited		

- **Overall strengths:**
- **Key points for development:**

**NEXT STEPS to improve or consolidate learning.**  
**Could include:**

- Informal learning walk
- Observation
- Professional discussion
- Other

**Review Date:**

**Introduction and Purpose of the Audit**

As the lead provider with direct contractual and compliance obligations with ESFA, we have provided an overview of our expectations and performance management to ensure we identify internal and external processes to meet Colchester Institute and external quality standards. This will require documentation to support the performance management throughout the delivery of the qualifications.

This quality assurance monitoring audit is a means of providing assurance of the subcontractor’s quality processes and procedures that systematically monitor different aspects of the programme. Through audit it detects and correct problems that fall outside of the standard requirement, therefore, it is of significant importance that the actions recommended in this report are implemented to improve stakeholders’ confidence and satisfaction.

**The Report**

This report is a summary of the findings from the audit. It shows findings in nine main categories: Criteria for Main Provider to Use Subcontractors, Conflict of Interest, Financial Health and Insurance, Safer Recruitment and Human Resources, Company Policies, and General Data Protection Regulation (GDPR), Information Advice and Guidance, Apprentice Progress- Planning for Learning and Progress and Provider Development & Continuous Improvement. The conclusion is presented in the ‘Summary of Activity’ highlighting developments and good practice. Each category is rated and defined actions or recommendations made to address the issues.

**Compliance Ratings**

Overall Compliance Rating	None, Partially, or Fully compliant
---------------------------	-------------------------------------

**Summary is presented in section 2 of this report.  
Findings are presented in each category of this report.**

**Section 1      Contact details**

Subcontractor Programme Manager/Director name	Add name
--	----------

Subcontractor Programme Internal quality assurer name	Add name
--	----------

Subcontractor Data Protection /GDPR officer name	Add name
---	----------

Subcontractor Safeguarding and Prevent Officer name:	Add name
---	----------

Subcontractor trainer/tutor names	Add name/s
-----------------------------------	------------

CI Professional Coach and Development Coach names	Add name/s
--	------------

CI Internal quality auditor name	Heather Duguid
----------------------------------	----------------

Type of activity	Desk based remote	Date of activity	<a href="#">Click or tap to enter a date.</a>
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**Section 2 Summary of activity (To be completed by CI)**

No	Subcontracting Standard Requirements	Compliance Status	Recommendation
1	Criteria for Main Provider to Use Subcontractors		
2	Conflict of Interest		
3	Financial Health and Insurance		
4	Safer Recruitment & Human Resources		
5	Company Policies		
6	Information Advice and Guidance		
7	Learner Progress Planning For Learning		
8	Learner Progress Support		
9	Provider Development & Continuous Improvement		

Please provide only a sample of the key and relevant documentation for each category

**Category 1 Criteria for Main Provider to Use Subcontractors**

Quality Requirements	
<b>CI must only use subcontractors that satisfy one of the following 4 criteria:</b>	Please indicated which criteria you satisfy
They are on the published Apprenticeship Provider and Assessment Register (APAR) (Previously known as ROAP) and have applied by the main provider or supporting provider application routes	
190.2. They are the apprentice’s employer, or a connected company or charity as defined by HMRC, and are on the published APAR , having applied through the employer-provider application route;	
190.3. They have applied to the APAR subcontracting exception process and have been approved to be exempt from the requirement to be on this register and can produce written approval from the department confirming that this exception applies to them, including its duration;	
190.4. They are not on the published APAR but will deliver less than £100,000 of apprenticeship training and on-programme assessment under contract 81 across all main providers and employer-providers between 1 August and 31 July each year.	
Colchester Institute Auditor Comments	

**Category 2 - Conflict of Interest**

Quality Requirements	Agree Yes/No
<p><b>Conflict of Interest</b>            In accordance with ESFA, Colchester Institute will notify <a href="mailto:subcontracting.requirements@education.gov.uk">subcontracting.requirements@education.gov.uk</a> about any circumstances which might lead to an actual or perceived conflict of interest.</p>	
<p>Do you agree that knowledge of conflict of interest will be brought to the attention of Colchester Institute?</p>	
<p>Please provide names of board of directors or senior personnel for checking of any shared common directors or senior personnel  <b>Add names here:</b></p>	

### Category 3 – Financial Health and Insurance

Quality Requirements	
<p><b>Completed by main provider.</b>            Financial Health of the subcontractor.</p>	
<p>Checks on audited accounts to determine of the solvency of the company.  <a href="#">Company House</a></p>	
<p><b>Completed by Subcontractor</b>            Add UK Register of Learning Provider number:</p>	
<p>Do you have a current 3rd Public Liability?  <a href="#">Please send a copy</a></p>	<p>Yes/No</p>

Do you have a current Professional Indemnity? Please send a copy	Yes/No
Do you have a current Employers Liability? Please send a copy	Yes/No

**Category 4 Safer Recruitment and Human Resources**

Quality Requirements	Yes/No
Pre employment checks are carried out in line with employment legislation responsibilities (including statutory responsibilities). If documents are not completed or received, then the start date will be postponed until received	
Appropriate DBS checks where required are in place and as part of procedures with the provider are refreshed every 3 years with their staff	
The Single Central Register (SCR) has been reviewed and meets requirements under Colchester Institute policy for subcontractors. The SCR is continually reviewed to ensure it is up to date with new staff added immediately as part of the recruitment process. <a href="#">Please send a copy of the SCR</a>	

Trainer/tutor to learner ratio	Give the ratio
Specimen Signatures for each tutor /trainer	Do you keep these? Yes/No
Certificates and CVs for each member of the delivery team	Send examples or answer the following questions: Are CVs up to date, how often are they updated and what is the process to check CVs are current?
CPD plans and records for each member of the delivery team	Send examples of CPD activities or give examples of the types of CPD activity staff are involved with and give a summary on how staff development impacts learners' progress
Colchester Institute Auditor Comments	

**Category 5 Company Policies – Please complete table below and send policies.**

Quality Requirements	Yes/No	Date of next review	Quality Requirements	Yes/No	Date of next review
Assessment and IQA			Data Protection/GDPR		
Assessment Malpractice			Health and Safety		
Assessment Appeals			Environment Policy		
Observation			Sustainability Policy		
Complaints & Compliments			Equality, Diversity and Inclusion Policy		
Staff Development			Anti-Bribery & Corruption		
Prevent / Safeguarding			Whistle Blowing Statement		

E Learning Policy			Matrix accredited or present Advice and Guidance policy and action plan		
Business Continuity / Contingency Plan			Modern Slavery Act 2015 and Slavery Human Trafficking Statement		
Safer Recruitment Policy/Procedure					
<b>Evidence of spot checks on data protection compliance</b>					
Give a description of the GDPR checks that are carried out.					
Colchester Institute Auditor Comments					

**Category 6 Information Advice and Guidance**

Quality Requirements	Yes/No	Please comment on how you have achieved the quality requirements
Marketing Material including plaque and CI logos.		Send example of marketing and course materials which includes CI logo
Matrix Accreditation		Do you have this? If no, provide evidence to upholding information advice and guidance related to the Matrix Standard
Learner Handbook		Send a copy
Course Standards/Syllabus		Are these shared with learners? When and how does this happen?
Induction Process and materials		Explain the organisation's role to induct learners to the programme. Please send materials created by you used for induction, for example power point presentation or example of materials that are shared with learners.

Safeguarding, Prevent and Online Safety for delivery staff and learners		How do tutors/trainers and learners receive support or guidance on Safeguarding, Prevent and Online Safety? Please send the latest information shared with tutors and learners on keeping themselves safe.
Sexual Harassment		Outline the company's measures to prevent sexual harassment.
Progress and Destination - How are learners supported for transition to their next step. For example: training education, promotion or sustain employment.		Explain the career advice, guidance and information provided to support learners for transition to their next step after their training.  Provide learner progress or destination data.
Colchester Institute Auditor Comments		

**Category 7    Learner Progress - Planning for learning**

<b>Quality Requirements</b>	<b>Please comment on how you have achieved the quality requirements</b>
Delivery plan for training	Please send two examples
Session plans promoting diversity, equity, inclusion, British Values and maths and English skills	Please send two examples and highlight where diversity, equity, inclusion, British Values and maths and English skills are integrating during the session

**Category 8      Learner Progress**

<b>Learner name</b>					
For each named learner send one example of feedback provided.					
Records of additional support provided for learners and the impact on their progress	Clarify the process for providing additional support to a learner. Share records for two learners: Record one for a learner who has declared a learning difficulty/health problem and record two supports for a learner who has not declared a learning difficulty/health problem				
Re-engage at risk learners with the curriculum	Explain support for at risk learners to re- engage with the curriculum				
Preparing learners for EPA (Not AEB funded courses)	Explain your part in supporting learners' readiness for EPA (Not applicable for ASF/NSF)				
Colchester Institute Auditor Comments					

**Category 9      Provider development & Continuous Improvement**

<b>Quality Requirements</b>	<b>Please comment on how you have achieved the quality requirements</b>
Provider development of staff with direct learner responsibility. (Example: tutors, managers, trainers)	Explain how you plan and manage development activities.
Operational performance and Government initiatives improvement activities	Please provide a brief overview of operational and government initiatives performance improvement activities, including any ongoing future
Standardisation Meetings	Explain how/when this is carried out, who attends, and topics covered.

	Send meeting minutes of the last 2 meetings.
Programme Review Meetings and action plans	Explain the process/agenda items and send the last two minutes. <i>(No need to resend if these are provided to CI throughout the year)</i>
Programme Evaluation and action plan	Explain the process and provide any associated records/reports etc.
Learner feedback	Explain how learner and employer feedback (If applicable) is gathered and what are the main areas of strength and the areas for improvement
Teaching and learning observation report and action plan.	Provide the most recent lesson observation reports for three tutors/trainers, highlighting any identified areas of development and corresponding improvement strategies.  Provide a summary outlining the strengths and areas for improvement in teaching and learning within your company.
Annual Schedule of Internal Quality Assurance Activity	Explain your yearly schedule of IQA activities during the year
Internal Quality Assurance Feedback and Action Plans	Give a summary of the IQA findings and actions identified
Self-Assessment Report and Quality Improvement Plan	Give comments on progress made toward the quality improvement plan
Evidence of latest external body report	Please send the latest external quality assurance report.
Colchester Institute Auditor Comments	



## Apprenticeship and Subcontracting Continuity Plan 2024-2025

Apprenticeship Continuity Plan			
<b>Policy Owner:</b>	Amanda Drew	<b>Date Created:</b>	June 2024
<b>Authorised by:</b>	Ali Davies	<b>Date Authorised:</b>	
<b>Amendments by:</b>	Amanda Drew	<b>Date of review/amend:</b>	
<b>Annual check date:</b>	June 2025	<b>Version Number:</b>	2.0

## Purpose

This plan has been developed to reflect the principles detailed in our *Business Continuity Plan* and the requirements of the Education and Skills Funding Agency (ESFA) Apprenticeship and Subcontracting Funding Rules.

This plan is designed to prepare Colchester Institute and provide assurance that we have considered a wide range of risks that could impact apprentices' or learners' ability to successfully undertake or complete their programmes and that we have contingency plans in place to eliminate, mitigate or manage these risks. The plan considers those incidents that will have a significant impact on the operation of our Apprenticeship or subcontracting provision following a major crisis, disaster or an event, and which creates the need for short-term closure or suspension of activity.

## Policy Aim

The Apprenticeship and Subcontracting Continuity Plan applies to all apprenticeship and subcontracted programmes that are provided by Colchester Institute. All learning is delivered in the classroom at one of the Colchester Institute campuses, at the employer's or subcontractor's premises or virtually; however, all hard copies of learner records are held at our Colchester campus and are managed by the Funding & Information Team. Colchester Institute also uses Smart Assessor a secure e-portfolio system to store electronic records. The scope includes all stakeholders, directors, tutors, assessors, coaches and learners.

Continuity of learning is the continuation of education in the event of a prolonged establishment closure. It is a critical component of emergency management, as it promotes the continuation of teaching and learning despite circumstances that interrupt normal delivery patterns for one or more learners.

All Colchester Institute staff, apprentices and subcontractors are asked to ensure that they read and understand the contents of this plan and that they remain aware of its existence in order to act and respond accordingly.

Colchester Institute maintains a "register of issue" of College policies to all staff and acknowledgment by all staff, that the policy has been received including updates resulting from any policy review. College policies and procedures forms a key part of all new staff inductions.

## Programme Structure

Colchester Institute offers a range of approaches to the delivery of apprenticeship or subcontracted programmes, in order to best address the unique needs of each employer and their apprentices or adult learners on subcontracted provision. Some programmes have components that are delivered on campus, online, at employer's locations or at alternate premises. For this reason, these continuity plans consider a wide range of arrangements that may be drawn on to address the needs of individual employers and their apprentices, should contingency arrangements need to be implemented.

In turn, Colchester Institute acknowledges that individual apprentices and learners will be affected in different ways if any of the risks detailed in this plan materialise. For this reason, the Apprenticeships delivery teams will communicate directly with apprentices and their employers where additional support, advice or guidance is required and will work with any apprentices who have approved reasonable adjustments or identified additional needs to ensure actions and options meet their individual requirements.

## Continuity of Learning

Colchester Institute will take all reasonable steps to minimise disruptions to apprentices' studies by:

- Re-scheduling any affected components of study in agreement with learners, apprentices and employers
- Delivering a modified version of learning or access to the same learning via a different mode of study if required and an appropriate solution to the disruption (e.g. distance learning)
- Supporting affected learners and apprentices to move to a new training location for sessions that would have been on a pre-arranged site or relocating sessions to employers' premises when appropriate
- Where learning sessions were scheduled to be onsite at the employer's premises, arranging to move delivery staff to alternate locations provided by the employer

## Tools to support Continuity of Learning

Our apprenticeship and subcontracted learning is delivered through a blended approach and this provides a level of flexibility and a number of options to ensure the relevant learning continues to be delivered to our apprentices.

The methods of learning include face to face delivery (classroom and workshop), virtual, directed and supervised learning activities, webinars, online-coaching, telephone coaching, set reading and feedback, work-based learning assignments and work-based assessments.

The following list also includes a range of tools and methods for facilitating distance learning, including those with no, some, or great levels of technological sophistication.

- **Instructional Packs.** In the event of a prolonged closure absence, tutors and assessors can prepare hard copy instructional packs that apprentices may use at home to continue their learning. Hard copy pack may include worksheets; calendars or schedules of work to be completed; directions for home study, projects, or written assignments; excerpts from textbooks or other reading materials; and sample assessments.  
We may take two different approaches when developing packs:
  - Generic packs that can be used at any point that promote learning according to level and subject-specific standards, or
  - Unit-specific packs that are based on the planned curriculum and integrate with the learners' current learning at their workplace or off the job training.
- **Tutor and assessor Check-ins and Tutorials:** A variety of technologies (telephone, email, web conferencing, VLE) can be used to facilitate one-to-one, or teacher-and class interaction or lesson delivery between apprentices and delivery teams.
- **Telephone and Video Calling.** Delivery teams can hold group and individual discussions, or deliver sessions, with learners in a secure and private setting.
- **Email.** Use existing email service provider to send, receive, and track messages. In the event this service provider is not operating, response teams can use other online systems that all provide quick distribution of multimedia content to a mass audience. There are a variety of free email services providers on the Web, including Google, Yahoo, and Hotmail, most of which support document sharing, scheduling and web chats.
- **Web Conferencing.** Colchester Institute subscribes to Zoom conferencing services and is

currently using this virtual classroom alongside Google Classrooms to deliver virtual learning. In the case of an emergency, additional licences will be purchased.

- **Social Media.** Many learners, apprentices, parents, employers and staff use social media on a daily basis, but it can also serve as a vehicle to send announcements about learning sessions, staff absences, and other information related to continuity of learning. Social media can be useful during both short- and long-term closures, particularly because they are easy to access on different devices, including mobile phones, tablets, and computers. Colchester Institute also has its own app “CI Connect”, which is used to communicate with apprentices.
- **Access to resources and portfolios.** All our apprenticeship programmes and corresponding apprentice work and portfolios are accessible via Smart Assessor, Moodle and Google Classroom which remains available to apprentices via several media forms.
- **Ensuring Accessibility.** Not all learners and apprentices may have access to the Internet, phone lines, TV or radio at the same time, or at all, during a prolonged closure or absence. Therefore, it is important to offer a variety of methods of distance learning. Colchester Institute will abide by the Disability Act and ensure materials will be provided in alternative formats, when necessary.

## Travel

Learners and apprentices are required to make their own arrangements to attend their place of work and study location. Where a change of location of study is required for contingency reasons, Colchester Institute would seek to provide an alternative location that is as close as practicable to the original place of study or provide transport using college vehicles. Where alternate arrangements have to be made that could not easily be accessed by the usual forms of transport, Colchester Institute will work with the learner or apprentice employer to consider the nature and impact of alternate transport arrangements on individual apprentices and agree an appropriate solution.

Colchester Institute recognise the primary source of transportation for its remote delivery teams is via car. As such, expenses are paid to contribute towards the cost of fuel and general upkeep of the vehicle to enable delivery teams to maintain this source of transport. Delivery teams, apprentices, partners and suppliers use the Colchester Institute parking facilities as necessary, however should this become unavailable; there is alternative public parking facilities offsite opposite the East Gate entrance or 2 hours free parking within the retail park adjacent to the College. As an alternative, Colchester Institute recommends the use of public transport such as buses or trains, and private transport such as taxis or car sharing where appropriate. All delivery teams are issued with portable IT equipment to enable them to work remotely, negating the need to travel in the event of an emergency. Remote visits can be completed using mobile phone, email and software such as Zoom or Google Classroom. All delivery team staff are required to have appropriate insurance and breakdown cover, which is monitored annually, to ensure that in the event of an incident, suitable support is available.

## Redundancy

In line with ESFA Apprenticeship Funding rules ‘Redundancy’ 240.2, there may be circumstances where, if an apprentice is made redundant, Colchester Institute must make reasonable efforts to find the apprentice a new employer. In addition to our Apprenticeship’s Administration team, we have a specialist employer engagement team and a Careers Advice Service that is at hand to assist apprentices with identifying career opportunities as well as preparing them to apply for positions.

Colchester Institute also has well established relationships with a large number of levy employers working across varying sectors. Where appropriate, these relationships can be leveraged to identify opportunities for apprentices at risk of withdrawal due to redundancy. While assisting to secure alternate roles for apprentices who have been made redundant, our administration and recruitment teams can provide assistance in updating CVs, interview techniques and personal branding so that apprentices are well positioned to secure alternate roles when they become available.

## **Risks of Continuity of Learning**

### **1. Colchester Institute ceases to operate:**

Where viable, Colchester Institute will implement contingency plans which will allow existing learners and apprentices to continue and complete their learning and assessment (for apprentices – completion of the apprenticeship standard to enable them to enter Gateway and complete their End Point Assessment (EPA)). The measures Colchester Institute has in place to manage this risk means the likelihood of an imminent closure of Colchester Institute is low. Colchester Institute manages this risk by having in place:

- Financial reserves that would allow us to continue to operate for a suitable duration
- Business plans that are reviewed by our Governors, College Executive (CE), Senior Leadership Team (SLT) and College Leadership and Management Group (CLMG)
- Annual external auditing of finances and risks that provides independent assurance of our college's performance and forecasts
- Engagement of legal and financial advisors

Where viable, Colchester Institute will maintain key academic and administrative staff to allow current apprentices to complete their apprenticeships via the enrolled mode and timeframe. Where necessary, following consultation with employers and their apprentices, apprentices may be transferred to a Colchester Institute "distance learning mode" of study for the same apprenticeship standard, with Colchester Institute drawing on its existing experience and expertise in delivering our apprenticeships via a distance learning mode of study.

### **2. Failure to secure or maintain Registered Training Provider status**

In the event of termination of agreement with the ESFA as a result of Colchester Institute being removed from the Apprenticeship Provider and Assessment Register (APAR) and therefore becoming unable to continue the delivery of apprenticeship programme, Colchester Institute will engage with the ESFA to make arrangements for effective exit to minimise the disruption to both apprentices and employers.

The detail of all apprentices, their apprenticeship programme, progress made, registration with awarding organisations including the End Point Assessment Organisation (EPAO) and evidence that is required to contribute towards entering into Gateway and successful completion of their End Point Assessment would be made readily available.

The primary goal of Colchester Institute is to see every apprentice through to

successful completion of their apprenticeship standard and every effort would be made under such circumstances to enable this to happen.

### 3. Withdrawal of Apprenticeship Standards

Colchester Institute might make a strategic decision to withdraw learning on a particular apprenticeship standard if it has been superseded by a new apprenticeship standard, if it cannot be resourced, if the content is no longer fit for purpose or current, or if insufficient numbers can be achieved.

The ongoing viability of Colchester Institutes apprenticeship offer is monitored via the annual monitoring and quality assurance processes of Colchester Institute. Withdrawal of an apprenticeship standard is a strategic, planned event with the process defined in operational policies, the risk is considered low.

Colchester Institute manages this risk by having in place:

- Course Closure policy where every effort must be made to ensure that stakeholders are consulted, not disadvantaged in any way, have every opportunity to complete learning or modules they have been registered for or that suitable arrangements are made where the withdrawal of the apprenticeship standard is required;
- A process of consultation with those affected including employers and apprentices and with delivery teams on the potential impact of withdrawal of the apprenticeship standard;
- A tested ability to successfully manage an apprenticeship phased-out process

The withdrawal of apprenticeship standards is managed via Colchester Institutes Course Closure policy that ensures the impact of any proposal is assessed and managed and that key stakeholders are consulted as a core part of the process.

Where viable, a phased-out process will be proposed where current apprentices would be given the opportunity to complete their apprenticeship standard. The timing of the implementation of any proposed withdrawal would also consider prospective apprentices and where in the recruitment cycle they were.

All proposals would be considered by Colchester Institutes Executive Vice Principal: Curriculum, Planning & Quality and could not be implemented without CE oversight and approval of the phase-out and impact management proposal.

## Subcontracting

All subcontract arrangements are considered carefully so that in the event of a subcontractor being unable to fulfil their full obligations under the terms of the

contract:

- The learning arrangements can be modified to encompass delivery directly in- company, initially on a short-term basis and then possibly into the future. Colchester Institute already has a range of Professional Coaches (associates) on board which could be utilised or the base broadened quickly;
- Alternative organisations that may be approached that have already been through the initial desk-based quality checks, for example through OFSTED report analysis and local reputation checks.

An analysis would be conducted with an on-boarding quality assurance process that will ensure a non-stop process flow, so not to disadvantage the learner, apprentice or employer.

### **Unable to recruit or retain suitably qualified delivery staff**

The impact of an inability to recruit suitably qualified staff is low given our programme specialties are not niche and that Colchester Institute has both an employed delivery team and network of experienced associate staff to draw on for temporary cover while permanent replacement staff are secured.

Colchester Institute manages this risk by having in place:

- A Remuneration and Search Committee who regularly reviews pay and benefit packages to ensure that Colchester Institute is positioned well to recruit and retain suitably skilled staff;
- Regular systems of appraisal and career development opportunities;
- Colchester Institute will seek to fill gaps in staffing as quickly as possible by initially drawing on suitably skilled and experienced temporary staff;
- Where necessary, Colchester Institute will draw on the network of associates and employers who have worked with Colchester Institute in recent years to undertake contract roles until permanent members of staff can be recruited.

## **IT infrastructure**

Colchester Institute has an Information and Learning Technology (ILT) department to maintain our IT infrastructure and has in place processes and protocols for the ongoing monitoring and management of risks to our systems such as malicious attacks or hacking and remains as vulnerable to these and new threats as other organisations.

Colchester Institute manages these risks to business-critical systems and the back-up and restoration of data by having in place:

- Full database and system replication including student virtual learning environments (VLE);
- Firewall protection and a skilled and up-to-date team of IT specialists who monitor system risks and maintenance;

- Regular Business Continuity testing to ensure business systems can be supported from one or another site;

Colchester Institute will implement its business continuity plans to reinstate IT services as soon as possible. Remote classes or workshops that were scheduled during a system outage will be rescheduled and recordings and/or additional support material provided for apprentices who were unable to attend sessions due to an Colchester Institute IT system issue.

System enabled contingencies daily back-up of our business-critical systems ensures restoration of data can be achieved. We use Smart Assessor (e-portfolio), EBS (MIS system), Strata (achievement data) and EBIS (financial) for organisational collaboration and storing of relevant programme data which is also backed up every 24-hour.

## Communication

Colchester Institute hold both the work and personal contact details of learners and apprentices on our secure information systems and have learner or apprentice's communication contingencies. In addition, we hold contact details for an apprentice's employer organisation including the teams responsible for overseeing apprenticeship programmes and the line managers of apprentices who can enact their internal emergency contact procedures.

Through staff development and available communication channels we have the following options to communicate with Colchester Institute delivery teams and our apprentices:

- Smart Assessor (e-portfolio);
- Email;
- Telephone;
- By our designated social media groups.
- CI Connect App

We use Smart Assessor and EBS for internal, organisational collaboration and storing of relevant programme data which is also backed up every 24-hours and can be accessed remotely as well as on-site.

## Roles and Responsibilities

Key emergency contacts and functional responsibilities (these include staff responsible for managing any crisis between Colchester Institute, the learner and the employer.

The ESFA will be informed of any break in learning.

### **Alison Andreas, Principal and Chief Executive**

- Overall responsibility for the continuity of apprenticeship training
- Incident Officer
- Chair Crisis Team meetings
- Co-ordination of the response

- Liaise with Prime Funding organisations (where appropriate)
  - Liaise with employers, partner providers, Awarding Bodies (where appropriate)
  - Allocate resources
  - Responsible for external liaison
- Be prepared to answer questions from the media

### **Gary Horne, Executive Vice Principal: Finance and Corporate Development**

- Responsibility for managing disruption in the provision of administrative services, assessment arrangements and physical premises
- Meet and greet emergency services as they arrive, with a floor plan of the building if necessary.
- Ensure all significant occurrences and decisions are recorded, together with reasons for decisions made.
- Follow up communication

### **Amanda Drew, Director of Apprenticeships and Business Solutions**

- Responsibility for dealing with issues relating to subcontracted learners' delivery
- Responsibility for dealing with issues relating to apprentices' work placement and the ongoing checks of insurance and health and safety
- Responsibility for dealing with issues associated with apprentices' apprenticeship training and timely progression
- Responsibility for dealing with issues relating to personal and pastoral support
- Agree key information to be given by delivery teams

In case of a significant incident emergency, contact details of key responsible staff. These include:

Contact Role	Contact Name	Contact Number(s)	Contact Email
Colchester Institute	Reception	01206 712000	<a href="mailto:reception@colchester.ac.uk">reception@colchester.ac.uk</a>
Principal and Chief Executive	Alison Andreas	01206 712221	<a href="mailto:alison.andreas@colchester.ac.uk">alison.andreas@colchester.ac.uk</a>
Executive Vice Principal: Finance and Corporate Development	Gary Horne	01206 712636	<a href="mailto:gary.horne@colchester.ac.uk">gary.horne@colchester.ac.uk</a>
Director of Apprenticeships and Business Solutions	Amanda Drew	01206 712340	<a href="mailto:amanda.drew@colchester.ac.uk">amanda.drew@colchester.ac.uk</a>
Designated Safeguarding Lead	Maeve Borges	01206 712143	<a href="mailto:maeve.borges@colchester.ac.uk">maeve.borges@colchester.ac.uk</a>
Education and Skills Funding Agency	Service Desk	03702 670001	<a href="#">ESFA Contact Form</a>

<b>Apprenticeship and Subcontracting Continuity Plan</b>			
<b>Policy Owner:</b>	Amanda Drew	<b>Date Created:</b>	June 2024
<b>Authorised by:</b>	Ali Davies	<b>Date Authorised:</b>	July 24
<b>Amendments by:</b>	Amanda Drew	<b>Date of review/amend:</b>	July 24

<b>Annual check date:</b>	June 2025	<b>Version Number:</b>	2.0
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