

Policies & Procedures	✓
Organisation chart / Structure of Organisation and Affiliated Companies	
Anti-Bribery Policy	
Risk assessment procedure	
Equality & diversity	
Safeguarding policy	
Health and Safety/Accident Reporting policy.	
Employer Engagement policy	
Sustainability policy (within 28 days)	
Business Continuity Policy	
Staff training / CPD procedure(s) and log	
IAG Policy	
Anti-Radicalisation and Prevent policy	
Disaster Recovery Policy	
GDPR / Data Protection Policy	
Quality Assurance Policy	
Teaching and Learning Observation Policy (if applicable)	
Assessment policy/Assessment appeals policy	
Learner Support Policy/handbook/Learner code of conduct	
Controlled Assessment Policy	
Recruitment/Retention and attendance policy	
Whistle Blowing Policy	
Withdrawal Policy	
At risk Policy	
Risk Assessments	
Safer Recruitment Policy	
Business Continuity Policy / Procedure(s)	
Staff anti-bullying & harassment Policy	
Grievance Procedure(s)	
Corporate/Financial Documents	
Companies House Certification	
Copies of insurance certificates	
Last two years audited accounts	
Details of other funding partners and agreed values	
Reference details	
Personal / Parental Guarantee (if appropriate)	
Evidence of ESFA Approval on RoATP	
Quality	
Success rates per programme/per level/overall/timely (three year trend)	
SAR / QIP – Ofsted inspection report	
Relevant Quality awards – Matrix accreditation – copies of certificates	
Awarding body approval – copies of certificates, signed and dated	
Satisfaction Survey Results (sample)	

EQA Reports and calendar of anticipated visits for each qualification	
Direct claim status evidence for each qualification	
Scheme of work / delivery plan/timetable	
PFA Audit details (if applicable) and or other external audits	
GDPR Data Log (log of minor OR major breaches)	
Learner Journey	
Details of Tutor/Assessor/IV Qualifications Matrix	
Copies of relevant certificates/CV's	
Delivery Staff DBS-check	
Assessment and IQA Strategies	
IAG/induction tracking progress, reviews, completion and progression – SCL to provide support with system on Partner Delivery Model	
Details of initial assessment tests used and scoring system – SCL to provide on Partner Delivery Model	
Arrangements for learner additional support	
Learner Handbook and Employer Handbook	

Following ESFA rules, please note all subcontractors must obtain the Matrix Accreditation within 12 months of receiving a contract.

SCL USE ONLY:

Funding Stream Enquiry	
Target Learner Numbers	
Estimated amount of funding	

	Completed
Finance checks	YES/NO
References X2 received	YES/NO
Examine subcontractor declaration list	YES/NO
Evaluation form completed	YES/NO
PQQ Successful	YES/NO

**STAGE 2
DUE DILIGENCE CHECKLIST**



Site Visit conducted and approved	YES/NO
Contract Approved	YES/NO
Funding Stream/Value to be awarded	£
Feedback to provider	YES/NO

Director signature _____

Date _____