

Ixion Supply Chain Management Framework

Version 10.0: 23/01/2019



www.ixionholdings.com





Ixion Holdings (Contracts) Limited

Introduction to Supply Chain Management Framework

The Supply Chain Management Framework has been developed using Merlin Principles to support Ixion to procure and maintain excellent and positive relationships with Partners in a creative and innovative way ensuring maximum flexibility. In as much as the Merlin Standard has been designed to recognise and promote sustainable excellence and partnership working within supply chains and provide guidance to those seeking to achieve it, Ixion has implemented its Supply Chain Management Framework to ensure it aligns to the four integrated and fundamental Merlin principles; Supply Chain Design, Commitment, Conduct and Review.

The framework will assist in the identification of need for subcontracted delivery, the selection of Partners in an open, fair and transparent way and the qualitative, financial and relationship management of Partners throughout the life of their contract with Ixion.

The Supply Chain Management Framework, in addition to addressing every step in the process of subcontracting, also reviews the role of commissioning, including the procurement process and how the supply chain behaviour is affected by the behaviour of Ixion. The framework aligns to each element of the four Merlin Principles ensuring a clear process flow is set out for each. All associated documentation is included or referenced in the framework for ease of use.

The aim of the framework is to set a consistent standard for the management of Partners across the Ixion Group and thereby drive the behaviours required to operate to the benefit of the funding body providing value for money at every stage.

The framework can only be delivered internally through the Ixion local offices using an appropriate infrastructure to provide the operational instruction, guidance and documentation from the individuals responsible for each area. The framework seeks to provide as much guidance as is necessary to take it to this next stage.

The overarching Supply Chain Management Framework process is outlined at the beginning of this document and individual process for each step are included at the beginning of each section. Behind each of these processes is an information brief which explains the process in more detail.

Each information brief gives details for the owner of the process if there are any queries regarding its use.

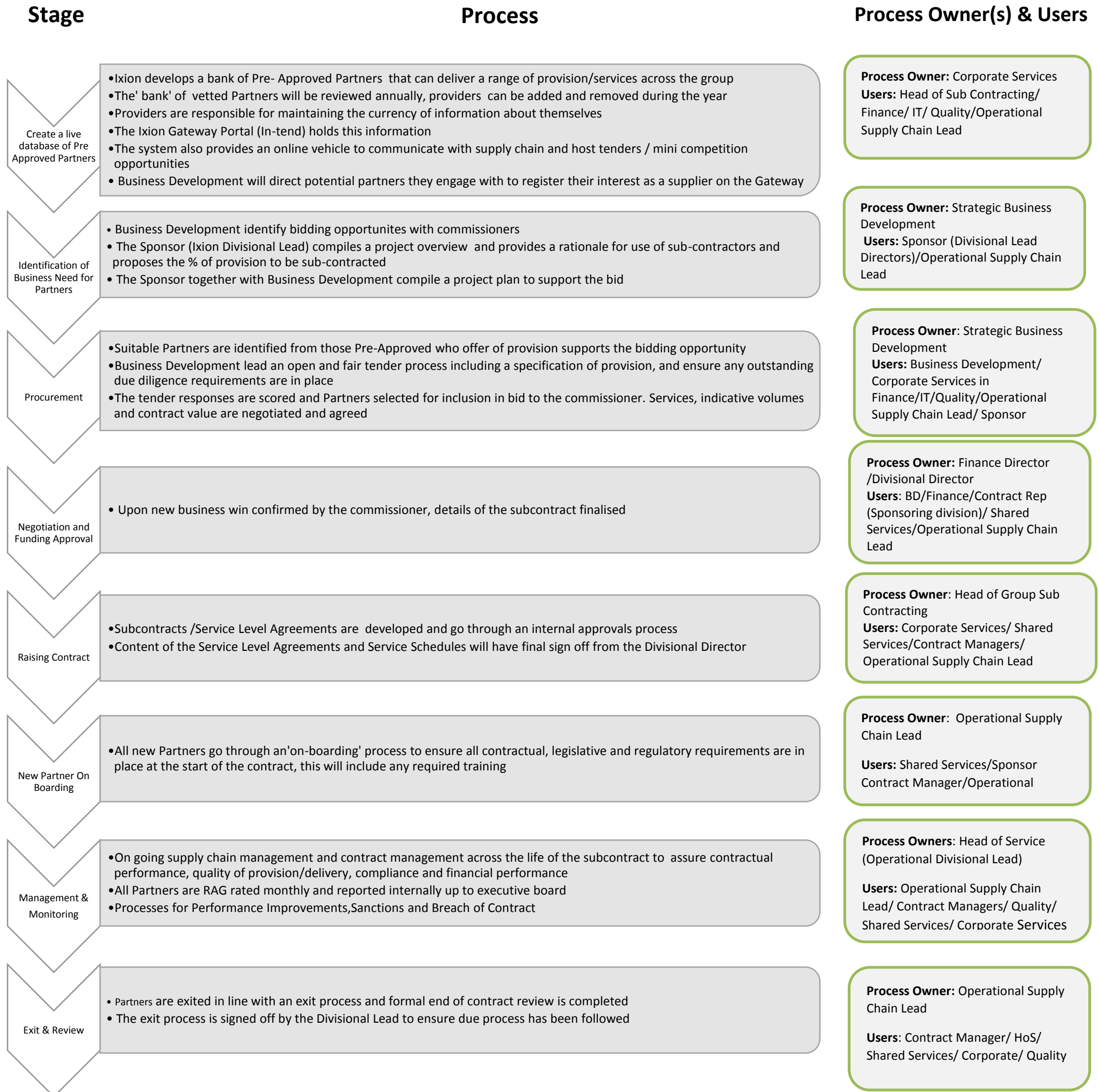
In support of the Merlin Principle “Commitment” to develop supply chain partners and to inform them how they will be procured, managed and monitored a version of the process and information brief is available for distribution and storage on the Ixion Supply Chain Portal to evidence and drive the Partner Communication Strategy.

If you feel you wish to raise a specific complaint about Ixion’s non compliance with the Merlin Standard principles within the Supply Chain Management Framework, please see Complaints and Dispute Resolution Process detailed in annex A at the rear of this framework

Approved Documents Register

Stage	Reference	Description
	ISCMFIB – 01	ISCMF Introduction
	ISCMFIB - 02	Approved Document Register
	ISCMFP - 01	Overview of Process
	ISCMFIB - 03	Glossary
Stage 0	ISCMFIB - 04	Creation & Management of the Ixion Gateway Information Brief
Stage 0	ISCMFP - 02	Creation & Management of the Ixion Gateway Process
Stage 0	ISCMFF – 01	Due Diligence Risk Assessment Scorecard
Stage 1	ISCMFIB - 05	Business Opportunity/Need Information Brief
Stage 1	ISCMFP - 03	Business Opportunity/Need Process
Stage 1	ISCMFF – 02	Solution Design Template
Stage 2	ISCMFIB - 06	Procurement Information Brief
Stage 2	ISCMFP - 04	Procurement Process
Stage 2	ISCMFF - 03	Mini Competition Request Form
Stage 2	ISCMFF – 04	Mini Competition Specification Template
Stage 2	ISCMFF – 05	Mini Competition Evaluation Form
Stage 2	ISCMFF - 06	Partner Action and Feedback Log
Stage 3	ISCMFIB - 07	Negotiation & funding Approval Information Brief
Stage 3	ISCMFP - 05	Negotiation & Funding Approval Process
Stage 4	ISCMFIB – 08	Legal & Sign Off Information Brief
Stage 4	ISCMFP - 06	Legal & Sign Off Process
Stage 4	ISCMFF – 07	Contract Development Form
Stage 4	ISCMFF – 08	Contract & Approval Sign Off Form
Stage 5	ISCMFIB - 09	New Partner On boarding Information Brief
Stage 5	ISCMFP - 07	New Partner On boarding Process:
Stage 5	ISCMFF – 09	Approved Partner On boarding Plan
Stage 5	ISCMFF – 09A	Safeguarding Risk Assessment for use with Partners
Stage 5	ISCMFF -09B	Associate Request & Onboarding Checklist (3 documents)
Stage 6	ISCMFP– 08	Management & Monitoring Process
Stage 6	ISCMFP– 09	Financial Contract Monitoring Process:
Stage 6	ISCMFIB– 10	Management & Monitoring Information Brief
Stage 6	ISCMFF - 10	Partner Performance Monitoring Schedule of Activity
Stage 6	ISCMFF – 11	Partner Performance Monitoring Agenda
Stage 6	ISCMFF – 12	Partner Performance Monitoring Template
Stage 6	ISCMFF -13 Part 1	Post Review Action Plan Template
Stage 6	ISCMFF – 13 Part 2	Partner Performance Improvement Plan Template
Stage 6	ISCMFF – Part 3	Partner Quality Plan Template
Stage 6	ISCMFP – 10	Performance Monitoring Risk Process
Stage 6	ISCMFP – 11	Risk Reporting Process
Stage 6	ISCMFF – 14	Performance Monitoring Risk Assessment Scorecard
Stage 6	ISCMFP – 12	Breach Management Process
Stage 6	ISCMFIB – 11	Breach Management Information Brief
Stage 6	ISCMFF – 15	Breach Management Plan
Stage 6	ISCMFF – 16	Unannounced Visit Form
Stage 7	ISCMFIB – 12	Exit & End Of Contract Review Information Brief
Stage 7	ISCMFP – 13	Exit & End of Contract Review Process:
Stage 7	ISCMFF - 17	Contract & Exit Review Template
Stage 7	ISCMFF – 18	Subcontract Closure Checklist
Stage 7	ISCMFF - 19	Contingency Plan Template
Annex A	ISCMFIB – 13	Merlin Complaint & Dispute Resolution Process
Annex B	ISCMFIB-14	Guide to identifying Good/Best and Excellent Practice and examples of 'Value For Money' in Supply Chain Partners

Supply Chain Management Framework



ISCMF Overview of Process: ISCMFP - 01

Glossary

ISCMF	Ixion Supply Chain Management Framework
Business Development Representative	The individual from the Strategic Development team responsible for identifying an opportunity to deliver services to meet the need.
Supply Chain Lead / Manager	The individual with overall responsibility for the monitoring of Partners delivery and managing the Partner on a day to day basis within each division.
Contract Manager	The individual within operational division who has C1 responsibility for the overall provision /contract with the commissioner/funding body.
Head of Group Sub Contracting	Oversees adherence across the Ixion Group all elements of the ISCMF, maintaining the group contracts log, overseeing the development and issuing of all contracts/agreements, variations and notices to supply chain partners. Lead user of the Intend e-procurement solution and the Gateway
Ixion Gateway	A list of 'live' pre-approved suppliers who have achieved the minimum criteria required to be a Partner to Ixion
Ixion Gateway Portal (In-tend)	The online system which will be used to set up the Ixion Gateway and portal for contract management. All suppliers who wish to be placed onto the Ixion Gateway will need to apply via the In-tend hosted portal.
RAG Rating	Red Amber Green rating given to the level of risk associated to a particular partner.
Financial Viability	The system currently used to run checks on a company's background.
Divisional Directors	The most senior post holder within each operational division i.e. Director and responsible for approving decisions within each division.
Finance Director	The most senior finance post holder responsible.
Sponsor	The individual requesting for a 'mini competition' to be carried out.
Support Services	Ixion Head Office support services e.g. HR, MIS/Shared Services, Marketing, Finance, Quality Assurance/Compliance, Sub Contracting



CREATION & MANAGEMENT OF THE IXION GATEWAY

Creation & Management of the Ixion Gateway

The purpose of the process is to create and manage a list of pre-approved delivery Partners for use throughout the Ixion group when the need arises. This document sets out the process that will be followed by Ixion and the required standard for each pre-approved Partner placed onto the Ixion Gateway.

The use of a Gateway will allow a list of suitable Partners to be held for an initial period of four years. The Gateway is flexible and allows new Partners to apply to be added to the pre-approved list at any time during its life. It also allows for Partners to be removed from the list if they fall below the required standard.

The Gateway will be created and managed by the Head of Group Sub Contracting using the In-tend system. In-tend is an electronic portal system which allows all exchanges between Ixion and interested Partners during the expression of interest process to be carried out electronically, and therefore will all be stored electronically.

Partners will be able to view opportunities on the Ixion In-tend portal and will be able to download all associated documentation. The portal will also be a repository for all contract management documentation allowing Partners to upload their submissions via the website and Contracts will be able to view the submissions uploaded and distribute accordingly.

The intention to create a Gateway will be advertised in various locations and to current Partners allowing them the opportunity to become a pre-approved Partner for Ixion. The advertisements will point the interested Partners to the In-tend portal. Any interested Partners will submit the requested information using the In-tend portal.

The submissions received will then be scored by an assessment panel to ensure they meet the required criteria of Ixion. Scoring will be carried out using the Risk Assessment Scorecard ISCMF - 01 and from the score each Partner will be given a pass or fail. The following items will be assessed and the Partner will only be placed on the Gateway if they meet an acceptable standard in all areas:

- | | |
|---|---|
| • Financial Stability | • Accreditations |
| • Directors & Company Search | • Other Funding Body contracts held |
| • Financial Audit Assurance | • External Verification Reports (if relevant) |
| • Insurance Policies | • Equality & Diversity Policy & Procedures |
| • Health & Safety Policy & Procedures | • Safeguarding & Child Protection/Vulnerable Adults Policy & Procedures |
| • Inspection Reports | • Staff Vetting Procedure |
| • Quality Assurance Policy & Procedures | • Environmental & Sustainability Policy & Procedures |
| • IT Security / Data Protection | • Complaints Procedure |
| • Inspection Reports | |
| • Equality & Diversity Policy | |



Information will also be gathered from interested Partners at this stage regarding what services they can offer to Ixion to enable Supply Chain Leads to ensure there is coverage in all required delivery areas on the pre-approved list.

If a Partner meets the required criteria they will be informed that they have been placed onto the Gateway and advised of any required actions. If a Partner does not meet the required criteria they will be informed that they have been unsuccessful. They will also be provided with feedback (and support if appropriate) on the areas in which they did not meet the required standard to help them work towards a successful re-submission, should they wish to do so. They can apply again at any time. If any of the requested information is not provided by the Partner they will automatically fail and will be informed that their submission has not been scored for this reason. It is their responsibility to ensure that they have provided all requested information.

Once a Partner has been placed on the Gateway it will be made very clear to them that it is their responsibility to keep the information they have submitted to Ixion up to date and inform Contracts of any changes to their circumstances. If up to date information is not held by Ixion then they may miss out on potential opportunities.

Regular advertisements will be placed offering the opportunity to become a preapproved Partner for Ixion. The information will also be available at all times on the Ixion website. The Head of Group Sub Contracting together with the Divisional Directors will regularly monitor the list of pre-approved Partners to ensure that the list meets the ongoing needs of Ixion. They will promote the Ixion In-tend portal to ensure all interested Partners are aware of the process that needs to be followed to become a pre-approved Partner.

After every six months of a Partner being awarded a place on the Gateway they will be requested to declare if there have been any changes to the information originally submitted. If there have been any changes this area of their submission will be re-scored by Contracts. Automatic notices will also be sent to pre-approved Partners reminding them to keep their information up to date and to replace any expired information or policies. If any of the information held expires and the Partner does not update the relevant information promptly they will be removed from the Gateway.

If the decision is made to remove a Partner from the Gateway at any point they will be informed of their removal and the reasons for this.

Note: If a Partner is placed on the Gateway they cannot be used until steps 1 to 4 of the Supply Chain Management Framework have been completed.

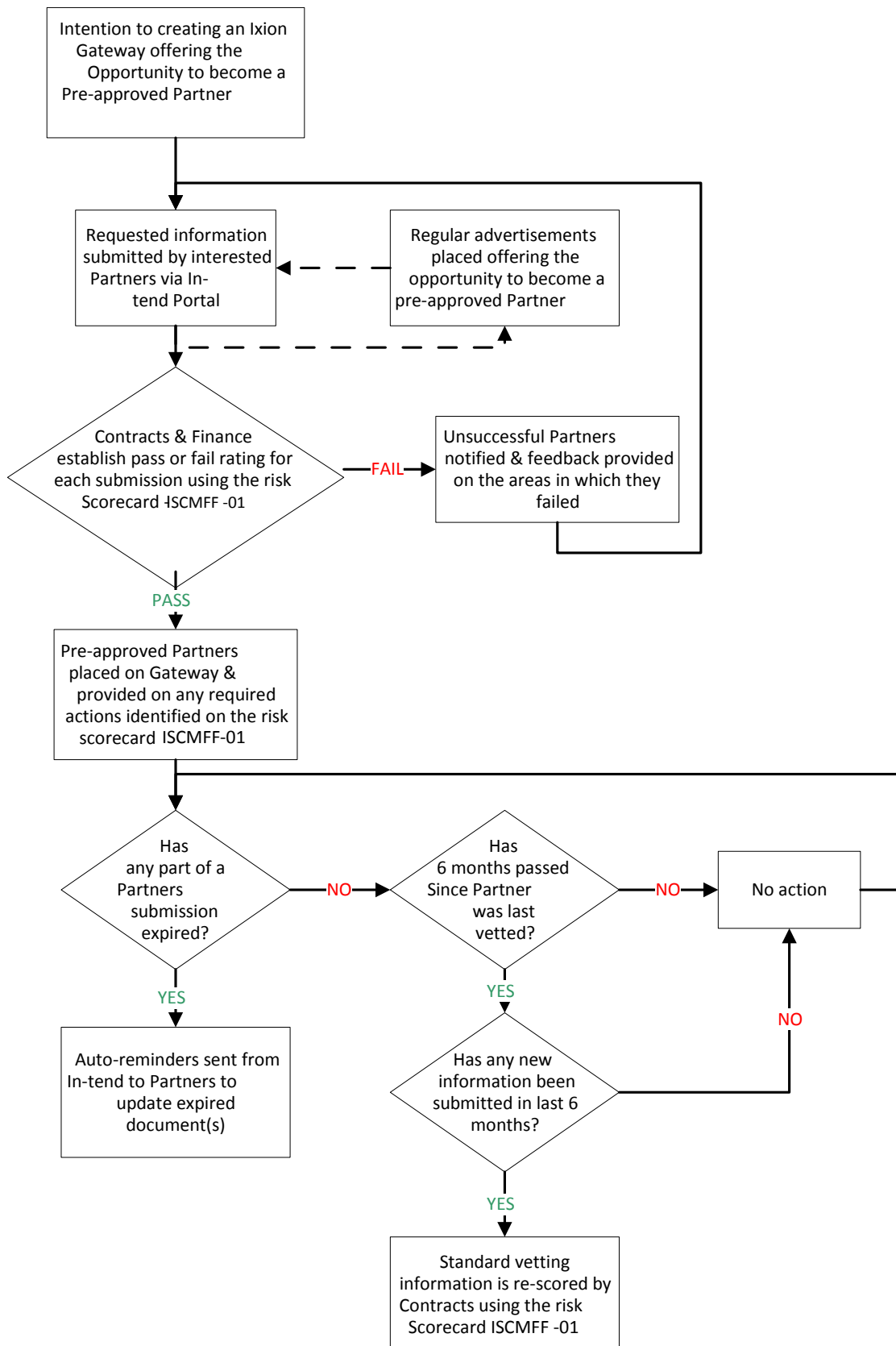
Key contact for queries:-

Contact: Jo Sears, Head of Group Subcontracting

Telephone: 01245 505 647

Email: jo.sears@ixionholdings.com

Creation & Management of the Ixion Gateway





Ixion

Due Diligence Scorecard - Supply Chain Partners				Completed Application Form Received:		Yes / No Date:	
Division & Contract:		/		Companies House Number:			
Subcontractor Legal Name:				Confirmation of 'Active' Status on CH Website Yes / No and Date of Check		Yes / No Date:	
ESFA Partner Only - UKPRN:				Check that Statutory Accounts are not overdue on CH website - Yes/No - Date of Check		Yes / No Date:	
ESFA Partner Only - ROTO Registered Yes/No and ROTO List Version Number and Date of ROTO List Check		1) Yes/No 2) Version: 3)Date:		Has the company passed a resolution to wind up or liquidate the company, or administrators have been appointed?			
Ref	Category	Weight	Description	Score	Assessment Outcome	Score	Max Score Action to be taken/Notes
1	Financial Stability - including last 3 years audited management accounts	3	Good - accounts submitted/Group Accounts	1			
	and checks for mandatory and discretionary exclusion	3	Satisfactory	2			
		3	Unsatisfactory	4			
		3	New Company	2			
		3	Accounts not Provided	4		12	
2	Directors & Company Searches including external Credit Agency check/report (Credit Rating Score 1-100)	3	Good - Clean Results	1			Credit rating Score - /100 Acid Test Ratio: Risk Level - Recommended Credit Limit: Red / Red Amber / Amber / Amber Green / Green
		3	Satisfactory	2			
		3	Unsatisfactory	3		9	
3	Financial Audit Assurances	3	Satisfactory	1			
		3	Weak	3			
		3	New Company / Never Audited	2			
		3	Not provided	3		9	
4	Insurance Cover	3	Preferred level of cover	1			
	Public & Employers - Preferred £10m /accep £5m	3	Acceptable level of cover	2			
	Professional Indemnity- Preferred £5m/ accep £2m	3	Below acceptable level of cover	3			
		3	No evidence provided	4		12	
5	Health & Safety Policy	3	Providers procedures are comparable with Ixions	1			
		3	Some minors issues to rectify	2			
		3	Major Issues to rectify	3			
		3	Not Provided	4		12	
6	IT Security Plan (DWP Only)	2	Providers procedures are comparable with Ixions	1			
	Data Protection Policy (ESFA Only)	2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
7	Document Retention Policy	2	Providers procedures are comparable with Ixions	1			
		2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
8	Anti Fraud Policy	2	Providers procedures are comparable with Ixions	1			
		2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
9	Quality Assurance Policy	2	Providers procedures are comparable with Ixions	1			
		2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
10	Equality & Diversity Policy	2	Providers procedures are comparable with Ixions	1			
		2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
11	Anti Bullying & Harassment Policy	2	Providers procedures are comparable with Ixions	1			
		2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
12	Whistleblowing Policy	2	Providers procedures are comparable with Ixions	1			
		2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
13	Safeguarding Vulnerable Adults & Child Policy including Prevent Duty	2	Providers procedures are comparable with Ixions	1			
		2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
14	Staff Vetting Procedure/Safeguarding	2	Providers procedures are comparable with Ixions	1			DBS Template completed = Yes / No
		2	Some minor issues to rectify	2			
		2	Major issues to rectify	3			
		2	Not provided	4		8	
15	Environmental & Sustainability Policy	1	Providers procedures are comparable with Ixions	1			
		1	Some minor issues to rectify	2			
		1	Major issues to rectify	3			
		1	Not provided	4		4	
16	Complaints & Feedback Process	1	Providers procedures are comparable with Ixions	1			
		1	Some minor issues to rectify	2			
		1	Major issues to rectify	4			
		1	Not provided	4		4	
17	Inspection Reports, eg Ofsted	3	High Assurance/ Good/ Outstanding	1			
		3	Satisfactory / Medium	2			
		3	Poor / Low Assurance	4			
		3	New Company / Never Inspected	2			
		3	Not Provided	4		12	
18	Accreditations & Quality Standards eg Merlin/Matrix/IIP/ISO	3	Providers accreditations are comparable with Ixions	1			
		3	Acceptable	2			
		3	Unacceptable	4			
		3	New Company	2			
		3	Not Provided	4		12	
19	Other funding body contracts or subcontracts held	2	Yes - no contracts terminated	1			
		2	Yes but one or more contracts have been terminated	3			
		2	No	2		4	

20	EV Reports (only complete if delivering qualifications)	2	Provider EV Satisfactory	1			Centre Approvals :
		2	Provider EV Issues	2			
		2	Not Provided	3		6	
Organisation Chart Received:		Yes/ No	Pass (Green)/Fail (Red)		Total Score	0	168
References Requested:		Yes/ No & Date					
Commitment to Living Wage Employer Status confirmed in application form		Yes/ No					
Commitment to meeting requirements for the Modern Slavery Act 2015 confirmed in Application Form		Yes/ No					Next Steps:
			Fail	90-168			Inform subcontractor they have been unsuccessful and provide feedback and actions
			PASS	< 90			Ensure any identified action are logged for follow up. If action points are failed the subcontractors application cannot progress
Due Diligence Assessment Panel				Board Director Review/Approval			
Date	Names	Position	Signed	Date	Name	Signed	
	Bradley James	Management Accountant			Rachael White- Finance Director		
	Jo Sears	Head of Group Sub Contracting		Accounting Officer Approval			
				Date	Name	Signed	
					John Govett - Chief Executive Officer		
ISCMFF 01: Version 5 Dated 21/02/18							

ISCMFF 01 Due Diligence Scorecard Version 5 21/02/2018

SECTION 1

BUSINESS OPPORTUNITY/NEED

Business Opportunity/ Need

The purpose of the process is to establish if there is a requirement for the use of a Partner, ensure they are only used when necessary and that the specification developed ensures the correct Partners are chosen. This document sets out the process to be followed.

This process will be initiated when Business Development or Bidding identify a potential delivery opportunity, or when the need for further delivery is established through the Business Planning Process.

The person who has identified the need will then complete the Solution Design Template – ISCMFF -02 which will assist in making a decision regarding whether there is a requirement for Partner delivery.

Once the solution design has been generated it will be approved by Operational Directors and by Ixion Management Board if required, in line with approval levels.

If approval is given and partners are required the estimated value of the subcontracting need to be checked by the Contract Representative to ensure they do not exceed permissible funding body levels. If they do exceed the permissible level approval must be sought from the relevant funding body by either the Strategic Development Director or the Director responsible for DWP programmes. There will also be further additional requirements from other funding bodies concerning their requirements for supply chain partners, therefore Ixion will in all of these circumstances seeking funding body approval.

If the relevant funding body does not give approval the solution design would need to be revised using the Solution Design Template ISCMFF - 02. The relevant approval would need to be sought again based on the revised solution.

If the relevant funding body does approve the additional level or if the value does not exceed the permissible level the Sponsor will complete the Mini Competition Request form ISCMFF-03 and use the Specification Template to develop the specification of requirements to be sent to all Partners on the pre-approved list. The specification must include all information that the Partners will require for them to be able to submit their bid, and must request all information that will be required to make the decision on which Partner(s) will be chosen. Further guidance on the completion of these documents can be obtained from the Head of Group Sub Contracting.

The Mini Competition Request form ISCMFF – 03 and Specification Template ISCMFF - 04 will then be submitted to Contracts

Note: No delivery should commence prior to stages 2 to 4 of the Supply Chain Management Framework being completed.

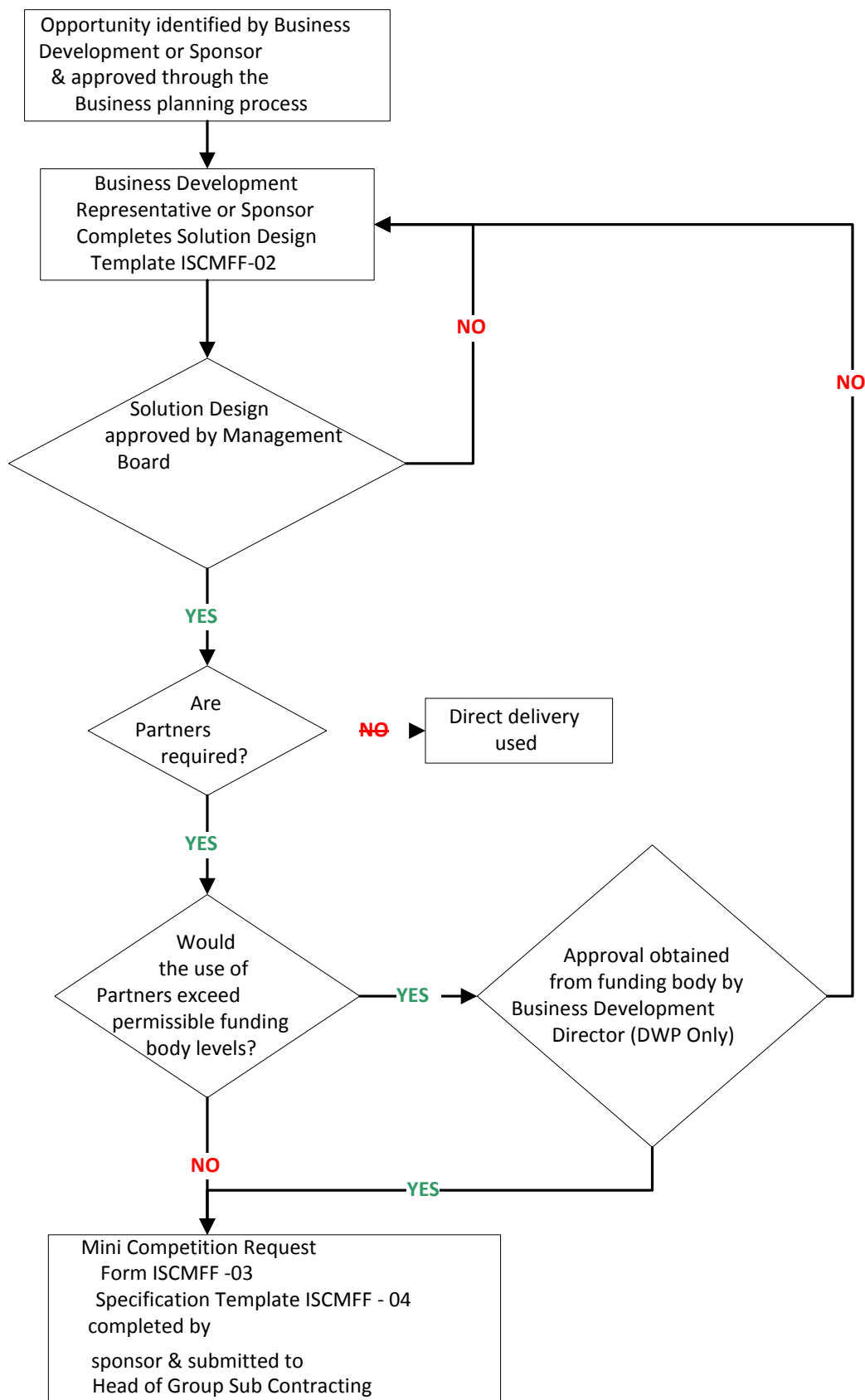
Key contact for queries:

Contact: Gary Kernaghan – Strategic Business Development Director

Telephone: 07899 904537

Email: gary.kernaghan@ixionholdings.com

Stage 1 – Business Opportunity/ Need Process



ISCMF Business Opportunity/Need Process: ISCMFP - 03

Solution Design Template

Project / Contract Overview	
Name of Project / Contract	
Project / Contract Description (Max 50 words)	
Nature of Submission i.e. ITT, RFX, Framework	
Period of 'stand still' at Contract Award	
Funding Body / Source	
Is a Parental Company Guarantee required? and need to go to ARU for approval.	
New or Existing business? Tender or Business Plan needed?	
Potential Contract Value – annual and duration	
Potential Volumes & indicative unit cost	
Performance outputs / outcomes required	
Region / Locations	
Contract Start Date	
Contract Duration	
Mini Competition Due Date	
Rationale for Partner's e.g. specialist provision; location; capacity (max 50 words)	
Percentage of contract to be sub-contracted	
Proposed management fee	
Completed by:	Date:
Forwarded to:	Region:
Decision required by (date):	

Solution Design Template

BID RISK MATRIX

			Low Risk					High Risk
Indicative Cost/Income Risks		Weight	Fixed Income	Draw Down National Activity Rates	Draw Down Tendered Rates	End Weighted National Rates	End Weighted Tendered Rates	Payment on outcomes
Weight			1	2	3	4	5	6
Low Cost	No set up costs, low revenue costs and liabilities	1						
	Low set up and low revenue costs and liabilities	2						
	Moderate Set up Costs and low revenue costs and liabilities	3						
	Moderate set up costs and moderate revenue costs and liabilities	4						
High Cost	High set up costs and moderate revenue costs and liabilities	5						
	High setup costs and high revenue costs and liabilities	6						

		Regional Approval	Executive Approval	Corporation Approval
Bidding Limits (Annual) £m		< £2m	£2m to < £5m	≥ £5m
		< £1m	£1m to < £5m	≥£5m
		< £0.75m	£0.75m < £5m	≥£5m
		< £0.5m	£0.5m to < £5m	≥ £5m

*Each Risk Matrix to have a codified reference e.g. 1.1. for lowest risk to 6.6 highest risk and the above sheet to be included on the front of all bid



Solution Design Template

Risk Plan

Please identify the most important areas of risk and map on the enclosed grid. For each identified risk, please state how the risk is to be managed in the table below and then assess the residual risk. Plot both gross and residual on the risk map.

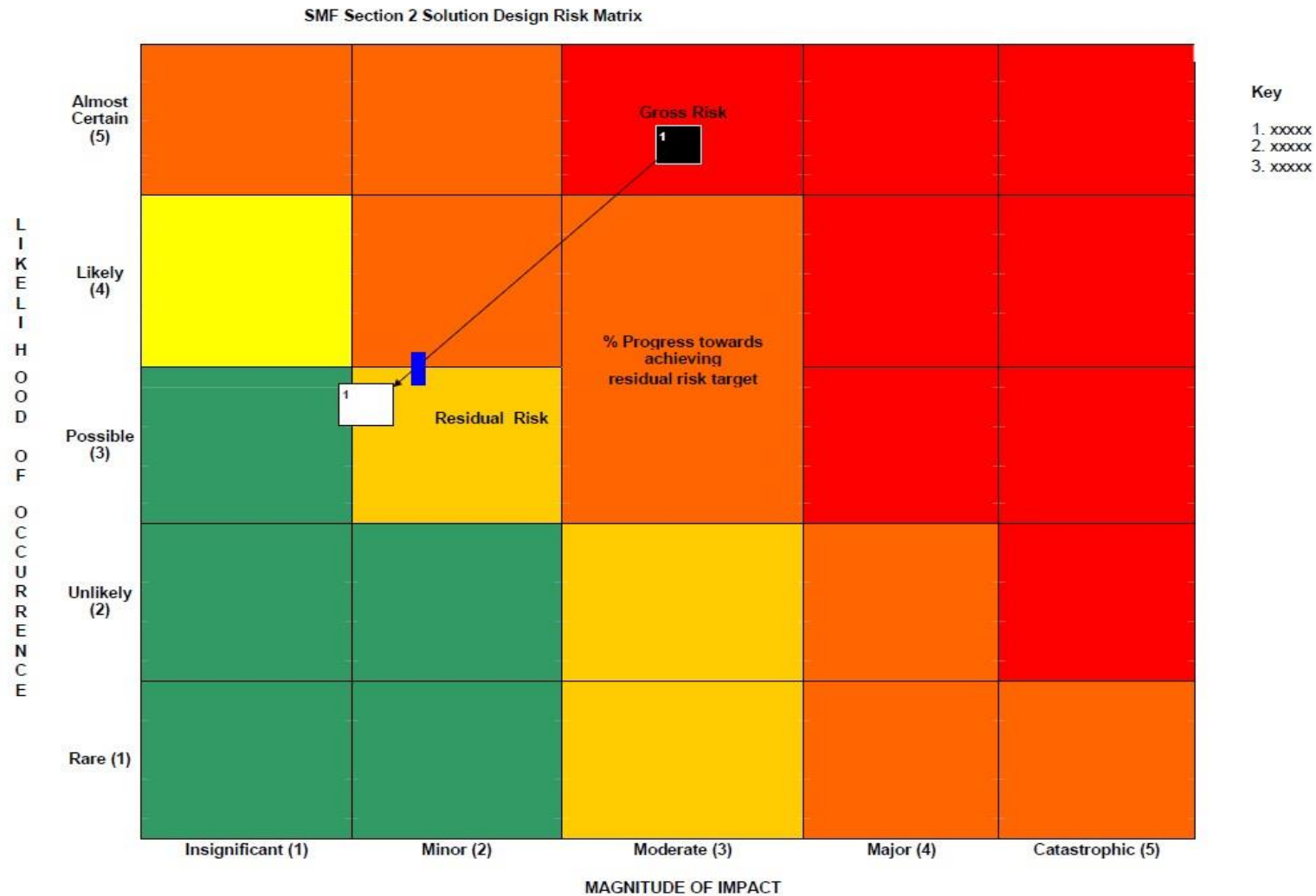
Categories

Letter	Meaning		
A	Financial including capital expenditure	F	Staffing/capacity
B	Funding	G	Estates/IT/MIS
C	Audit/Inspection and Quality	H	Other
D	Marketing and recruitment		
E	Deliverables		

Detailed Risk Analysis

No	Cat	Risk	Gross		Risk Analysis	Action Plan	Residual	
			Likelihood	Impact			Likelihood	Impact
1								
2								
3								

Solution Design Template



Solution Design Template

Stage 3 (Completed by Business Development Support)

Project Plan	
Completion of Project/ Implementation plan Spreadsheet, including transfer of key dates from above.	
Spreadsheet completed by:	Date:
Project Plan agreed (Business Development Director)	Date:
Date forwarded to Development Manager for financial plan to be constructed:	
Date forwarded to Finance:	

Solution Design Template

Financials / Key Deliverables					
Total number of participants to be supported					
Number & type of outcomes to be delivered					
Income	Funding Line	Year 1	Year 2	Year 3	Total
	TOTAL				
Income rationale, consider: development period, project build up, project run-down, average length of stay, tracking periods, contract run off etc.					
Staffing requirements, including caseload & participant ratios	Post	Year 1	Year 2	Year 3	Total
	TOTAL				
Staffing requirements rationale, including caseloads & participant ratios. Detail all posts, number, level, on costs					

Solution Design Template

		Year 1	Year 2	Year 3	Total
Non Pay Costs	Consumables				
	Equipment				
	Premises				
	Utilities				
	Accreditation				
	Participant support				
	Marketing				
	Recruitment				
	Set up				
	Other				
	TOTAL				
Non pay costs rationale – where possible use history, track record, actuals, compare to similar type projects	Consumables (details):				
	Equipment:				
	Premises:				
	Utilities:				
	Accreditation & Qualifications:				
	Participant support & materials:				
	Marketing:				
	Staff Recruitment:				
	Partner / Partner costs:				
	One off Project/ Contract set up:				

Solutions Design Template

	Other costs:
Financial Summary – Total project: Value of Contract Total Pay Costs Total Surplus % Surplus	
Details of any capital and accommodation required – see below	
*Please note all accommodation / lease requirements / impact, must be discussed with Finance/Estates prior to progressing beyond this stage. Evidence of discussions / agreements must be recorded in the box above.	
Financial summary completed by:	Date:
(Business Development and Finance signatures required)	
Date returned to business development:	



Solutions Design Template

Financial Examination & Assessment - Stage 5 (Completed by Finance)

To be returned to Business Development by:

Date received by Finance:

Assessment of Stage 4 financials:

A. We believe that the financial plan outlined at Stage 4, is an accurate reflection of likely contract performance based upon information supplied;

B. We believe that the attached financial plan provides a more robust and likely outcome of contract performance;

C. We recommend a re-appraisal of the financial performance of this tender (* delete as applicable)

Re-assessment comments (if required):

Signed:

Finance:

Business Development (Director):

Date returned to Business Development:

Solution Design Template

STAGE 6 - (COMPLETED BY AUTHORISED SIGNATORIES – AS IDENTIFIED AT STAGE 2)

Decision / Authorisation		
Please return to Business Development by: Project *approved / *not approved for submission to the appropriate funding body (delete as appropriate)		
Project Title	Received from	Checked by (name & date)
For projects not approved – reasons why & actions required:		
a.		
Re-submission – to be re-submitted by:		
b. Action take to address issues raised in box a. above:		
Project *approved / *not approved for submission to the appropriate funding body (delete as appropriate)		
Project Title	Received from	Checked by (name & date)
<u>FOR AUDIT PURPOSES, THIS DOCUMENT IS TO BE RETAINED IN THE MASTER PROJECT FILE</u>		

SECTION 2

PROCUREMENT



Procurement

The purpose of the process is to ensure that when the need arises to subcontract delivery the contract is awarded via the Ixion Gateway fairly and openly to the Partner(s) that best fit Ixion requirements. This document sets out the process to be followed.

When the process reaches this stage the need to use one or more Partner(s) will have been established by Business Development who will supply Contracts with the completed Mini Competition Request Form ISCMFF - 03 and Mini Competition Specification Template ISCMFF - 04. **These documents should be emailed by the sponsor to the Contracts email address contracts@ixionholdings.com.**

Upon receipt of this information Contracts will contact the sponsor to discuss and agree timescales for the procurement exercise. Any appropriate advertising of the opportunity will be discussed, agreed and arranged.

If there are any new or outstanding tenders to join the Ixion Gateway these will be scored by an assessment panel and the Partners that are successful will be added to the Gateway as preapproved Partners before the Mini Competition Specification ISCMFF - 04 is distributed.

Once all pre-approved Partners are on the Ixion Gateway the Mini Competition Specification ISCMFF-04 will be distributed to all via the Ixion Gateway Portal (In-tend). In-tend is an electronic tendering system which allows all exchanges between Ixion and interested Partners during the tendering process to be carried out electronically, and therefore will all be stored electronically. Partners will be able to view opportunities on the Ixion Intend website and will be able to download all associated documentation. They will also submit their submissions via the website and Contracts will then be able to view the submissions uploaded and distribute accordingly.

After the closing date the submissions will be scored by all relevant parties using the Mini Competition Evaluation Form ISCMFF - 05.

Procurement will also ensure that any other required due diligence is carried out, for example a refresh of the financial viability report for each Partner.

Once the successful Partners have been selected the Sponsor will provide Finance with the suggested contract values to be awarded to each Partner. Finance will review and approve each value, or discuss possible amendments with the Sponsor. These values will then be discussed and negotiated with the Partners at stage 3 - Negotiation and Funding Approval.

The completed Mini Competition Evaluation Form ISCMFF – 05 will be returned to Contracts who will notify Partners of the decision and will invite them to a meeting to finalise details of the contract. Further information on this meeting is provided in section 3 – Negotiation and Funding Approval. Contracts will also request that the Partner completes and returns a New Partner Form if they have not previously been used by Ixion. Once this form is returned to Contracts the new Partner will be set up on the Ixion Finance system and a supplier code will be generated.

Unsuccessful Partners will be provided with scoring and feedback by the appropriate Divisional Director and/or their representative.



Contracts will provide the relevant Supply Chain Lead with the risk scorecard ISCMFF-01 and the Mini Competition Evaluation form ISCMFF – 05 for each successful Partner. Any issues or outstanding actions identified on either of these documents will be noted on the Partner Action Log – ISCMFF - 06 by the Supply Chain Lead who will carry out the process detailed in section 3.

Note: No delivery should commence prior to stages 3 and 4 of the Supply Chain Management Framework being completed.

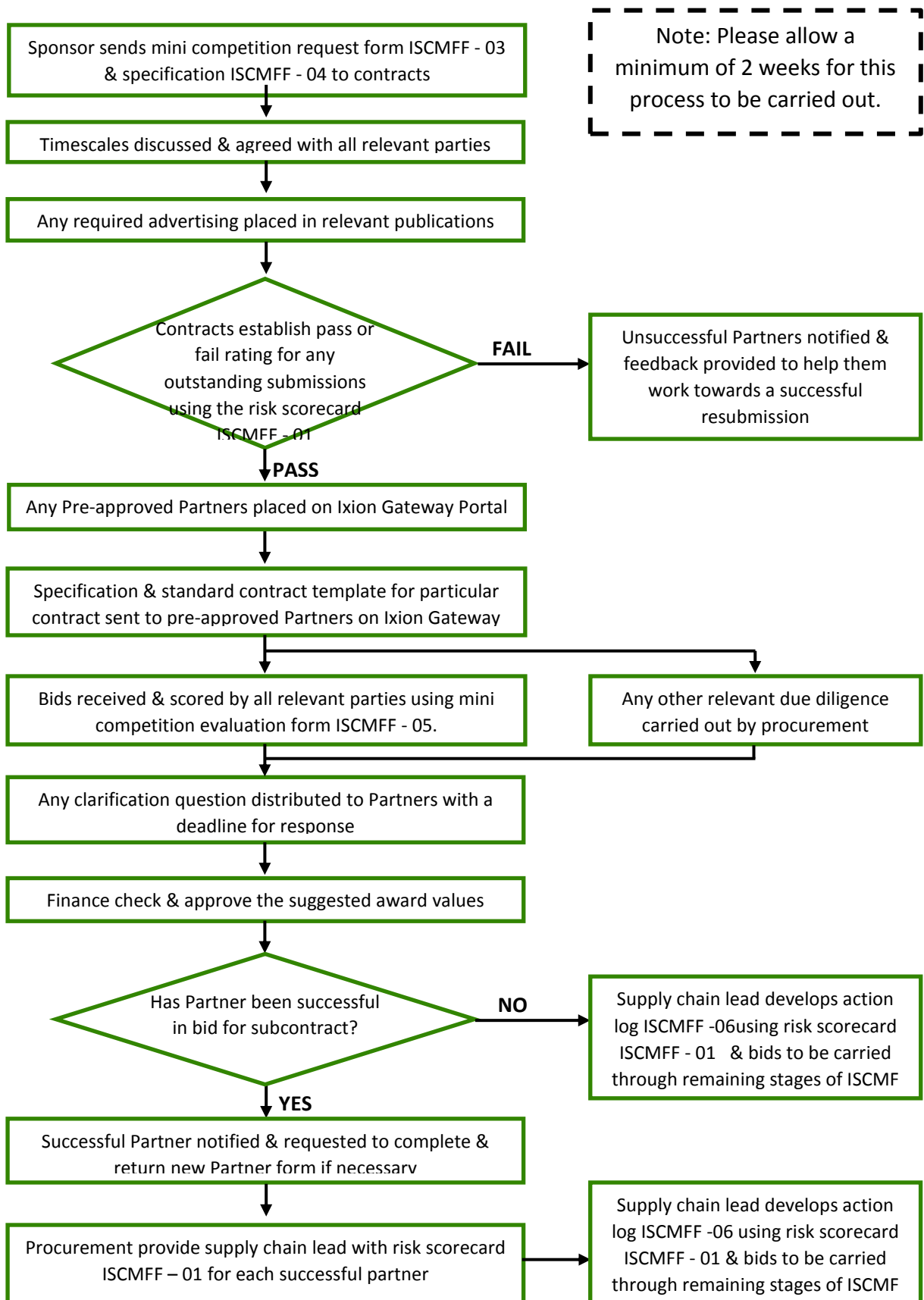
Key contact for queries:

Contact: Gary Kernaghan – Strategic Business Development Director

Telephone: 07899 904537

Email: gary.kernaghan@ixionholdings.com

Stage 2 – Procurement Process



ISCMF Procurement Process: ISCMFP - 04

Mini Competition Request Form

This form should be completed by the sponsor, approved by the Divisional Director and sent to Contracts. The Specification Template should be used to compile a specification for the mini competition and attached to this form when sent to Contracts.

Mini Competition Name			
Sponsor Name			
Estimated Mini Competition Issue Date		Estimated Mini Completion End Date	
Contract Start Date		Contract Duration	
Approximate Contract Value	£		
Cost Centre(s)			
Estimated number of successful Partners			

Specification template completed and attached? ☐ (Tick)

The opportunity will be sent to all pre-approved Partners on the Ixion Gateway. If any additional advertisements are required please list:

--

I confirm that I have reviewed the above information and approve the attached documents to be issued for the mini competition:

Authorised budget holder	
Signature	
Print Name	
Date	
WHEN SIGNED SEND TO CONTRACTS	
Checked by Senior Buyer	
Date	

ISCMF Mini Competition Request Form: ISCMFF - 03



Mini Competition Specification

Commercial in Confidence

Provision of [ENTER PARTNER NAME] for []

1. Contract Information

[ENTER INFORMATION ON PRIME CONTRACT]

2. Requirements of []

[ENTER REQUIREMENTS OF PARTNER UNDER CONTRACT]

[BUILD MATRIX OF REQUIREMENTS BY REGION FOR PARTNER TO COMPLETE]

[ENTER REQUIRED REGION 1]	[ENTER MINIMUM DELIVERY VALUE FOR REGION 1]
[ENTER REQUIRED REGION 2]	[ENTER MINIMUM DELIVERY VALUE FOR REGION 2]
[ENTER REQUIRED REGION 3]	[ENTER MINIMUM DELIVERY VALUE FOR REGION 3]
[ENTER REQUIRED REGION 4]	[ENTER MINIMUM DELIVERY VALUE FOR REGION 4]

3. Your Response

[ENTER 1ST CRITERION]

[ENTER LIST OF ITEMS REQUIRED OR QUESTIONS TO BE ANSWERED IN ORDER FOR SCORING OF THIS CRITERION TO BE CARRIED OUT.
DETAILS MUST BE PROVIDED ON HOW EACH QUESTION WILL BE SCORED.]

[ENTER 2ND CRITERION]

[ENTER LIST OF ITEMS REQUIRED OR QUESTIONS TO BE ANSWERED IN ORDER FOR SCORING OF THIS CRITERION TO BE CARRIED OUT.
DETAILS MUST BE PROVIDED ON HOW EACH QUESTION WILL BE SCORED.]

[ENTER 3RD CRITERION]

[ENTER LIST OF ITEMS REQUIRED OR QUESTIONS TO BE ANSWERED IN ORDER FOR SCORING OF THIS CRITERION TO BE CARRIED OUT.

DETAILS MUST BE PROVIDED ON HOW EACH QUESTION WILL BE SCORED

[ENTER 4TH CRITERION]

[ENTER LIST OF ITEMS REQUIRED OR QUESTIONS TO BE ANSWERED IN ORDER FOR SCORING OF THIS CRITERION TO BE CARRIED OUT.

DETAILS MUST BE PROVIDED ON HOW EACH QUESTION WILL BE SCORED.]

4. Evaluation Criteria

The following are the evaluation criteria which will be used to select the successful Partner(s):

Criterion	Weighting
[ENTER 1ST CRITERION]	[ENTER %AGE]
[ENTER 2ND CRITERION]	[ENTER %AGE]
[ENTER 3RD CRITERION]	[ENTER %AGE]
[ENTER 4TH CRITERION]	[ENTER %AGE]
Total	

5. Timeframe

[ENTER REGION NAME] aim to work to the timeframe outlined below however these dates may change as the process progresses:

Invitation to bid placed on Intend	[ENTER DATE]
Deadline for return of bids	[ENTER DATE]
Scoring of bids	[ENTER DATE]
Notify successful and unsuccessful Partners	[ENTER DATE]
Contract award made	[ENTER DATE]
Contract to commence	[ENTER DATE]

Mini-Competition Evaluation Form

Please complete this form and return to Contracts so that the final scores can be calculated. Please add as much detail as possible in the feedback column, both positive and negative, as this will assist communications to Partners. Please also comment on any issues which would need resolved before a Partner could commence delivery or in the first weeks of delivery.

Partner:		
[ENTER 1ST CRITERION]		
[ENTER QUESTION 1.1]		
ENTER WHAT ANSWER SHOULD BE GIVEN, WHAT EXPERIENCE THEY SHOULD HAVE, WHAT SHOULD BE DEMONSTRATED AND/OR WHAT SHOULD BE EXPLAINED TO ACHIEVE A HIGH SCORE ON THIS QUESTION].		
Feedback	Score	
[ENTER QUESTION 1.2]		
[ENTER WHAT ANSWER SHOULD BE GIVEN, WHAT EXPERIENCE THEY SHOULD HAVE, WHAT SHOULD BE DEMONSTRATED AND/OR WHAT SHOULD BE EXPLAINED TO ACHIEVE A HIGH SCORE ON THIS QUESTION].		
Feedback	Score	
ENTER 2ND CRITERION]		
[ENTER QUESTION 2.1]		
[ENTER WHAT ANSWER SHOULD BE GIVEN, WHAT EXPERIENCE THEY SHOULD HAVE, WHAT SHOULD BE DEMONSTRATED AND/OR WHAT SHOULD BE EXPLAINED TO ACHIEVE A HIGH SCORE ON THIS QUESTION].		
Feedback	Score	

[ENTER QUESTION 2.2]	
[ENTER WHAT ANSWER SHOULD BE GIVEN, WHAT EXPERIENCE THEY SHOULD HAVE, WHAT SHOULD BE DEMONSTRATED AND/OR WHAT SHOULD BE EXPLAINED TO ACHIEVE A HIGH SCORE ON THIS QUESTION].	
Feedback	Score
[ENTER 3 RD CRITERION]	
[ENTER QUESTION 3.1]	
[ENTER WHAT ANSWER SHOULD BE GIVEN, WHAT EXPERIENCE THEY SHOULD HAVE, WHAT SHOULD BE DEMONSTRATED AND/OR WHAT SHOULD BE EXPLAINED TO ACHIEVE A HIGH SCORE ON THIS QUESTION].	
Feedback	Score
[ENTER QUESTION 3.2]	
[ENTER WHAT ANSWER SHOULD BE GIVEN, WHAT EXPERIENCE THEY SHOULD HAVE, WHAT SHOULD BE DEMONSTRATED AND/OR WHAT SHOULD BE EXPLAINED TO ACHIEVE A HIGH SCORE ON THIS QUESTION].	
Feedback	Score

ENTER CRITERION 4	
ENTER QUESTION 4.1 [ENTER WHAT ANSWER SHOULD BE GIVEN, WHAT EXPERIENCE THEY SHOULD HAVE, WHAT SHOULD BE DEMONSTRATED AND/OR WHAT SHOULD BE EXPLAINED TO ACHIEVE A HIGH SCORE ON THIS QUESTION].	
Feedback	Score
[ENTER QUESTION 4.2] [ENTER WHAT ANSWER SHOULD BE GIVEN, WHAT EXPERIENCE THEY SHOULD HAVE, WHAT SHOULD BE DEMONSTRATED AND/OR WHAT SHOULD BE EXPLAINED TO ACHIEVE A HIGH SCORE ON THIS QUESTION].	
Feedback	Score

ONCE COMPLETED RETURN TO CONTRACTS

Partner Action and Feedback Log

Supply Chain Partner Name:				
Contract Name:				
Proposed Partner Start Date:				
Date Added	- Feedback on Strengths identified within the procurement stage, i.e. application and tender responses. - Areas for continuous improvement or clarification to be carried forward to onboarding process	Action or steps to be taken	By Whom	By Date
I agree that all above action have now been completed or carried forward (must be completed by stage 6)				
Supply Chain Lead Signature:				Date:
ONCE ALL ACTIONS ARE COMPLETED BY THE SUPPLY CHAIN LEAD UPLOAD THIS DOCUMENT ONTO THE CONTRACTS DATABASE				

ISCMF Partner Action and Feedback Log: ISCMFF - 06

SECTION 3

NEGOTIATION & FUNDING APPROVAL

Negotiation and Funding Approval

The purpose of the process is to ensure that once a Partner has been selected all of the relevant information is negotiated and agreed ready for the contract documentation to be developed, and to ensure the necessary funding body approval has been obtained. This document sets out the process to be followed. The process should be used for new contracts or for variations to current contracts.

When the process reaches this stage the successful Partner(s) will have been selected through a mini competition at stage 2, or a variation to a current contract will be required.

If the process is being followed for a new contract the Supply Chain Lead will notify the Head of Group Sub Contracting or the Divisional Director (for DWP programmes only) of the new Partners, who will undertake due diligence discussions with the relevant funding body to identify the level of risk associated with a Partner. If any risks are identified the Head of Sub Contracting or the Divisional Director will flag this to the Finance Director when informing them of the subcontracts that need to be checked.

Finance staff will check the market share, indicative values and volumes to ensure that they are within the current operational budget. If they are not within the budget then this must be discussed with the Divisional Director who will investigate whether there is sufficient headroom to enable the contract value to be agreed at this level. If there is no available headroom the Divisional Director will present a business case to the relevant funding body. Once a response has been received back the Finance staff will need to check again the indicative value and volumes and check that there is availability in the operational budget.

Once it has been confirmed by Finance staff that there is room in the operational budget, or confirmed by the Divisional Director that the contract value can be increased the Supply Chain Lead should arrange and hold a meeting with each successful Partner. The relevant Contract Manager should also be involved in this meeting if applicable. The following items will need to be covered in this meeting:

- Discuss and agree market share, values, volumes and performance expectations
- Establish MI & system requirements
- Review payment process
- Arrange Health & Safety assessment visit
- Establish key contacts at Partner
- Review terms of the contract and schedules including management fee
- Review Partner Action Log – ISCMFF - 06 instigated at stage 2 of the Supply Chain Management Framework.
- Ensure both parties are happy that everything has been discussed and agreed and happy to proceed to the contract award stage
- Make arrangements to begin on boarding plan ISCMFF -09 as detailed in section 5 – New Partner on boarding, including site visit to include assessment of data and security



Negotiation and Funding Approval

The Supply Chain Lead will then obtain approval from the Senior Finance Post holder of the agreed values to be awarded to each Partner.

Once this approval has been given the Supply Chain Lead will then use the information gathered at the negotiation meeting to complete the Contract Development Form ISCMFF - 07, which will then be sent to the Head of Group Sub Contracting to enable the contract to be developed at stage 4 of the Supply Chain Management Framework.

Note: No delivery should commence prior to stage 4 of the Supply Chain Management Framework being completed.

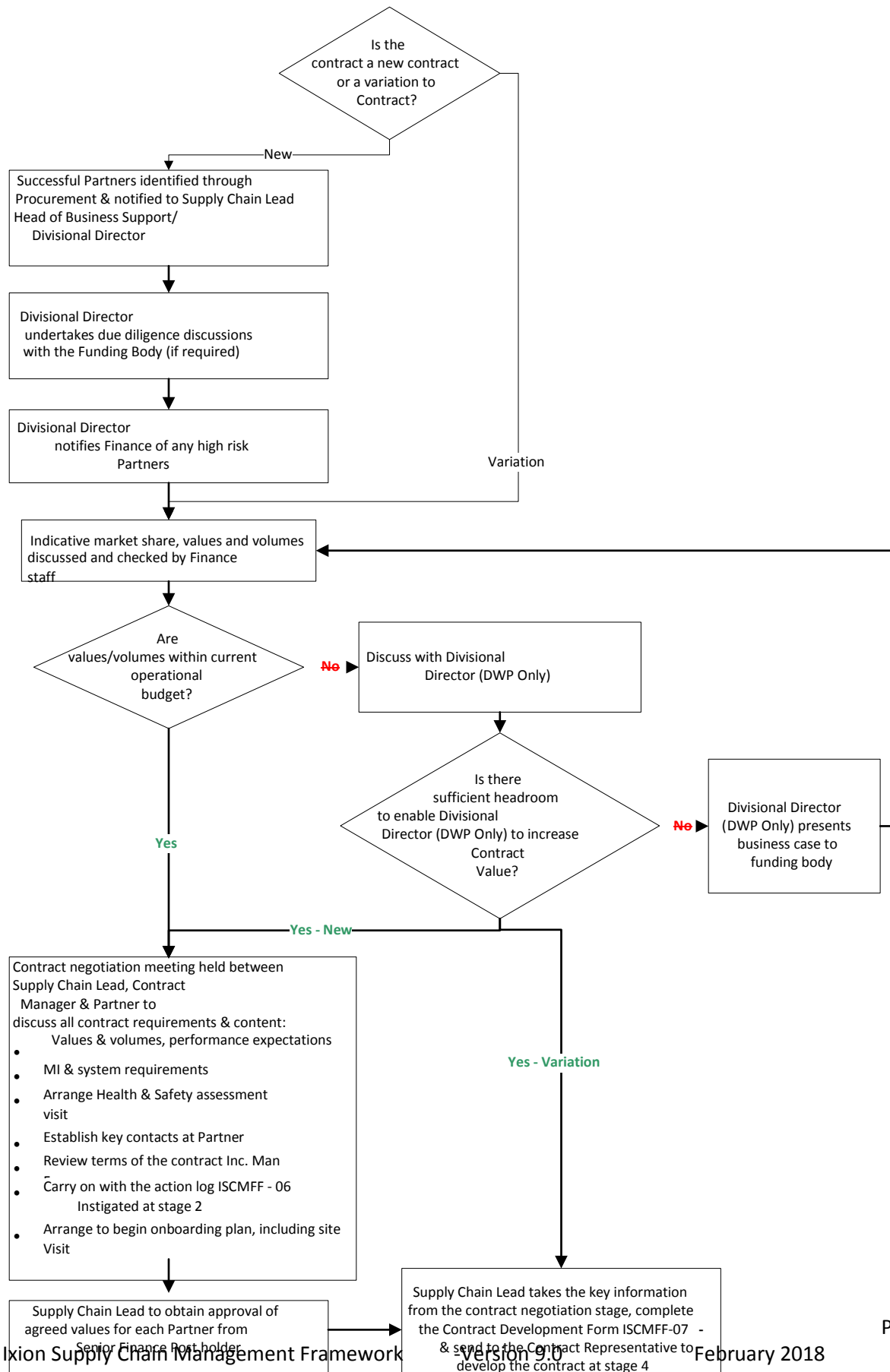
Key contact for queries:

Contact: Rachael White – Finance Director

Telephone: 01245 505 632

Email: Rachael.white@ixionholdings.com

Stage 3 – Negotiation and Funding Approval Process



SECTION 4

LEGAL & SIGN OFF

Legal and Sign Off

The purpose of the process is to ensure that all subcontracts are reviewed properly and signed by authorised signatories. This document sets out the process to be followed.

When the process reaches this stage the Partner will have already been approved and negotiations concluded. The Contract / Supply Chain Manager from the division should have used the standard contract to negotiate and sought approval from the Divisional Director. Where the standard contract is not suitable, the Contract/Supply Chain Manager from the division should contact the Head of Group Sub Contracting for advice.

The Contracts / Supply Chain Manager will then supply the completed Contract Development Form ISCMFF 07 to the Head of Group Sub Contracting to develop the contract.

Once developed by the Head of Group Sub Contracting the contract should be reviewed in line with the Ixion Financial Regulations.

The Head of Group Sub Contracting will use the Contract Recommendation and Sign off Request Form to obtain the relevant recommendations for signature in line with the Ixion Financial Regulations.

The Head of Group Sub Contracting will then update the contracts database to show approvals for signature sought. **Please note this is only approval to sign, not signature.**

Once the Head of Group Sub Contracting is confident all recommendations for sign off have been obtained they will arrange for the contract to be signed by an authorised signatory in line with the following:

Contract Type	Authorised Person
All Supply Chain Contracts /Agreements and Monetary Variations	Chief Executive Officer Finance Director
Letters of Intent (none contractual)	Chief Executive Officer Finance Director Divisional Directors
Non-monetary Variations	Chief Executive Officer Finance Director Divisional Directors

Once signed, the contract will be issued to the Partner by the Head of Group Sub Contracting.

If required, suppliers will be signposted to a third party to gain an independent analysis and guidance on the contract /SLA.

The contracts database will be updated by the Head of Group Sub Contracting to show the contract has been signed by Ixion.

Once the signed contract has been returned by the Partner the Head of Group Sub Contracting will need to update the contracts database and upload the contract and the completed Contract Recommendation and Sign off Request form to the In-Tend contract database.

If there are time constraints it may be necessary for Partner's signatures to be obtained first before Ixion signatures. This will be at the discretion of the Head of Group Sub Contracting.

Note: No delivery should commence prior to signature by both parties.



The same process must be followed for any variation to the original contract.

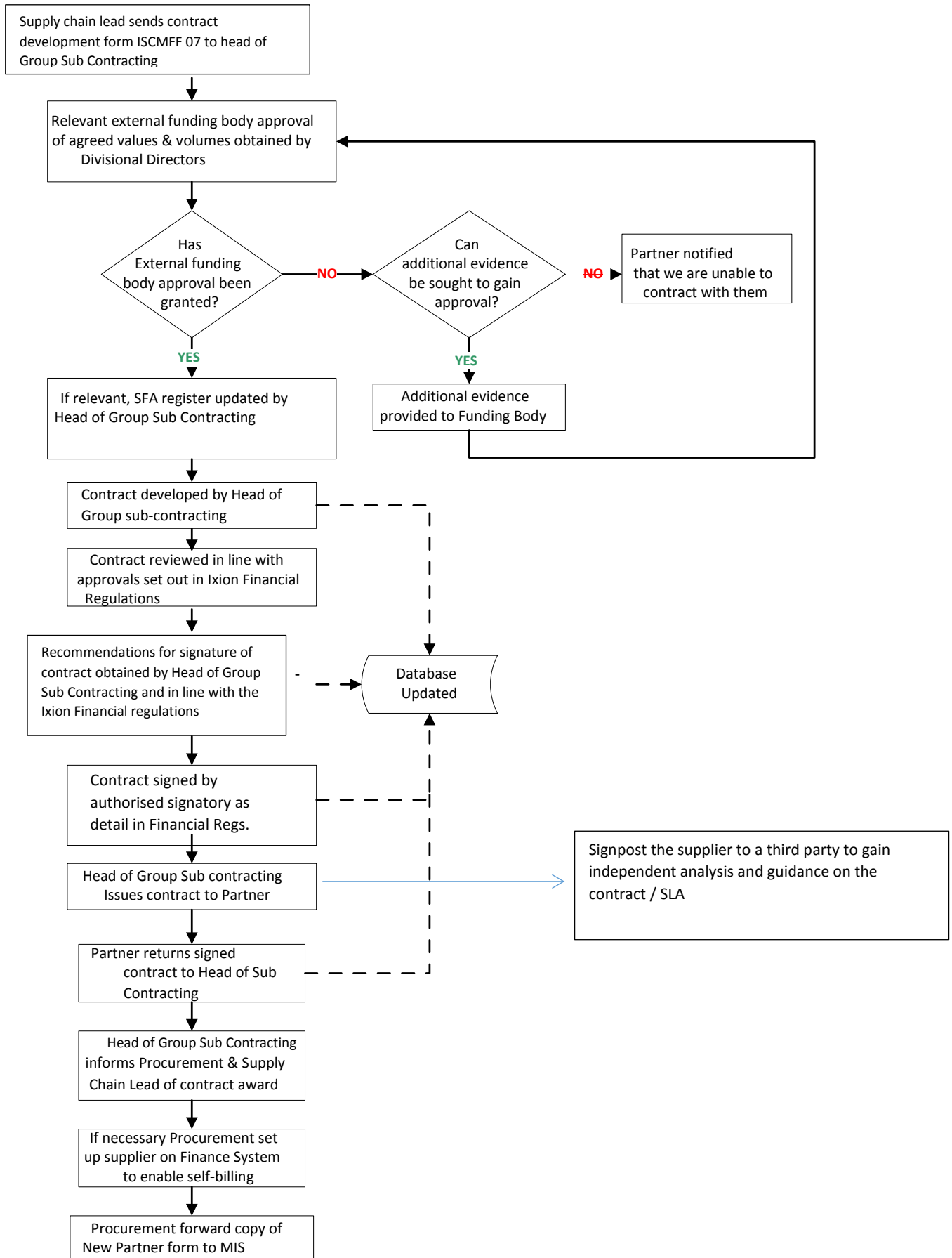
Key contact for queries:

Contact: Rachael White – Finance Director

Telephone: 01245 505 632 Email: Rachael.white@ixionholding.com

ISCMF Legal & Sign Off Information Brief: ISCMFIB – 08 Page 2 of 2

Stage 4 – Legal and Sign Off Process



Contract Development Form

The following information is required by the Head of Group Sub Contracting to enable the contract to be developed. The Head of Group Sub Contracting may need to request further information in due course depending on the contract funding body.

PLEASE NOTE: THIS APPLIES TO ALL NEW CONTRACTS & VARIATIONS TO CONTRACTS

1. Details of Organisation

Organisation Details	
Registered company name	
Trading name (if applicable)	
Registered Office Address	
Company registration number	
Authorised signatory	

2. Details of Supply Chain Manager on behalf of Ixion

Contact Details	
Name	
Job Title	
Contact Address	
Telephone Number	
Email Address	

3. Details of Contract Manager on behalf of Partner

Contact details	
Name	
Job Title	
Contact Address	
Telephone Number	
Fax Number	
Email Address	

4. Any changes negotiated to the standard contract

Negotiated changes to standard contract



5. Provide as much detail as possible regarding each of the following areas:

- Services to be provided
- Profiles of deliverables
- Details of qualifications
- Fee Structure
- Location
- KPI's/service levels
- Particular responsibilities
- Staffing of Ixion/other party

Details

6. For amendments to any existing documentation, the following information is required:

- (1) Contract Reference
- (2) The agreed Effective Date / Termination Date
- (3) The amendments to be made

Note: If the contract has already been drafted, the contracts team will require an electronic copy of the contract along with evidence of approvals obtained.

ONCE COMPLETED PASS TO HEAD OF GROUP SUB CONTRACTING WITH PARTNER ACTION LOG ISCMFF - 06 ATTACHED

Contract Approvals and Sign-off

This form should be completed by the person requesting contract sign off.

Section A – Contract Details			
Contract Type			
Contract Title			
Funding Source (e.g. DWP, SFA etc.)			
Detailed Description of Documentation to be signed (please include details of services to be delivered, which region to be delivered in, etc. If funding agreement, please state if local, regional or national agreement. If variation, please state a summary of the changes, e.g. uplift to contract value, downsize in contract value, etc.)			
Requestor Name		Requesting Approval Form	
Contract Reference Number (Issued by HoGSC)		Funding Organisation Approval (if required)	
Section B – Contract Approval Request Origin			
Is the contract approval request the result of a new procurement exercise?	Yes/No	If yes, attach the approved tender award recommendation	
Is the contract approval request the result of a variation to an existing contract?			Yes/ No
Has due diligence been carried out?			Yes/ No
Have the following colleagues been consulted/ awareness raised?			
Information Security / IT		Finance	
Shared Services		Quality	
I confirm that the Tender Award Form has been approved or the Due Diligence process has been completed and approvals have been received.			
Signed:		Name:	
		Date:	
Commencement Date		Termination Date	
Period of Contract		Effective Notice Period, state earliest date termination notice can be issued.	
Ixion Contract ID		Effective Date (if variation)	

Section C – Contract Review and Authority Granted to Proceed to Contract Signature			
Commercial review undertaken and recommended to proceed to contract signature			
Signed		Name	
		Date	/ /20
Legal review undertaken and recommended to contract signature			
Signed		Name	
		Date	/ /20
Financial review undertaken and recommended to proceed to contract signature			
Signed		Name	
		Date	/ /20
Section D - Signatory			
Contract to be signed by:			
Section E – Confirmation of Authorised Signature Received			
Authorised Signature Received	Yes/ No	/	/20
Copy of Contract sent to Partner	Yes/ No	/	/20
Contract scanned and retained on database	Yes/ No	/	/20
Hard copy to File	Yes/ No	/	/20

SECTION 5

NEW PARTNER ONBOARDING



New Partner On boarding

The purpose of the process is to ensure that when a new Partner has been identified they are provided with all of the information and assistance required to enable them to begin delivery on behalf of Ixion and give them the best possible start to ensure success throughout the duration of the contract. This document sets out the process to be followed.

When the process reaches this stage the Head of Group Sub Contracting will have confirmed to the Supply Chain Lead and Procurement team that the contract has been signed by both parties and that on boarding can commence.

Head of Group Sub Contracting will send each completed new Partner form to Shared Services who will set up the subcontract on the MI system and migrate in any required data ready for delivery to commence.

The Supply Chain Lead will inform the relevant Contract Manager that the contract has been awarded, who will book an appointment with the Partner to start working through the on boarding Plan – ISCMFF - 09. The Supply Chain Lead will also supply the Contract Manager with the Partner Action Log ISCMFF - 06 so that they can ensure any outstanding actions are completed before delivery commences. Once all actions on the Partner Action Log ISCMFF – 06 have been completed this document should be uploaded to the In-Tend contract database.

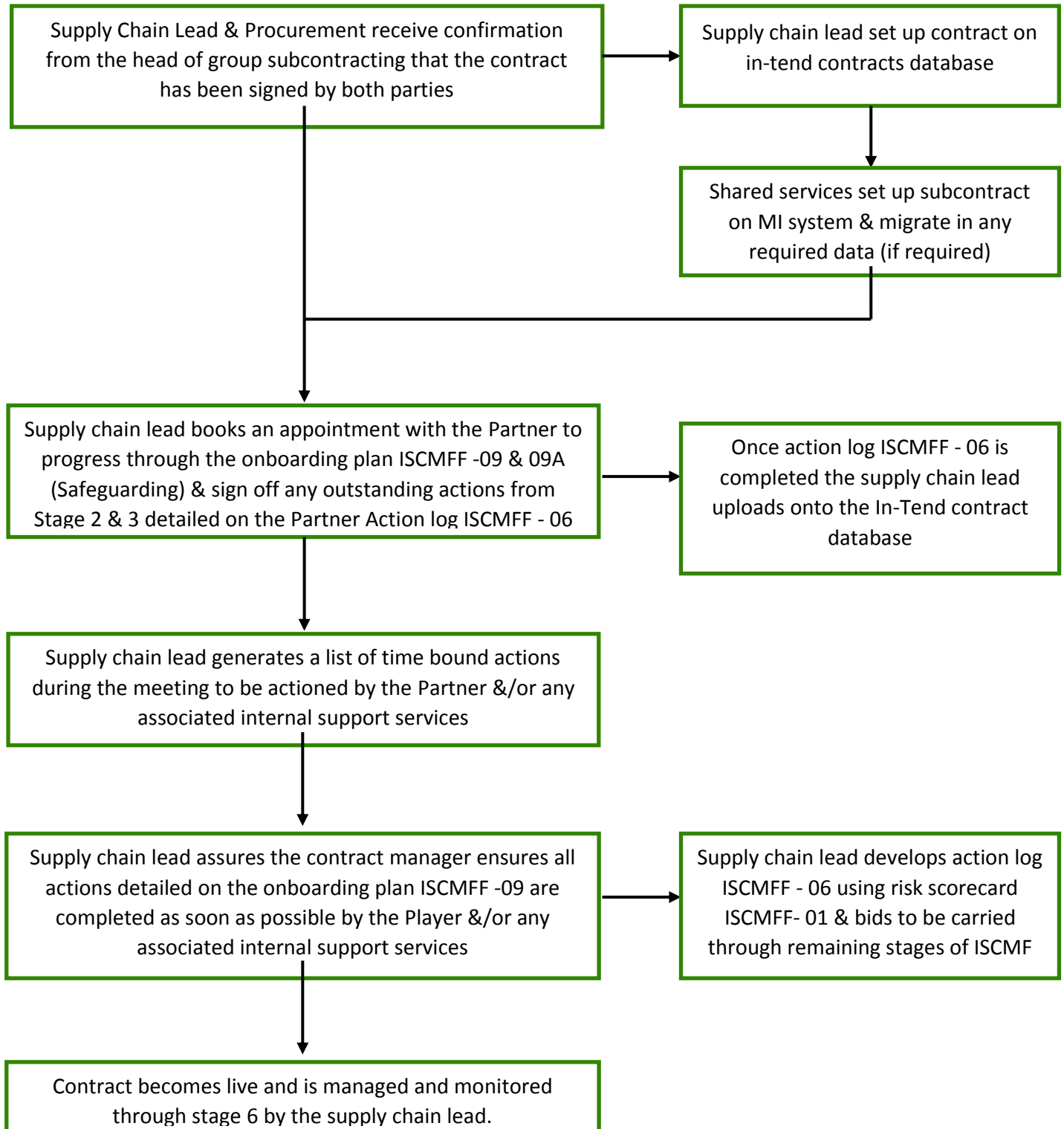
At the first meeting with the Partner the Supply Chain Manager will use the on boarding Plan ISCMFF -09 to ensure that all required information is provided to the Partner and all relevant processes are checked to ensure they comply with Ixion requirements. If there are any actions required these should be logged on the last page of the on boarding Plan ISCMFF -09 and allocated a completion date.

The Supply Chain Manager assures the Contract Manager Monitors progress to ensure that all actions detailed on the on boarding Plan ISCMFF -09 are completed within the set timescales. These actions may be for the Partner or other associated internal support services so this must be managed and monitored by the Supply Chain Manager to ensure completion of all. Once all actions on the on boarding Plan ISCMFF -09 have been completed this document should be uploaded to the In-Tend contract database.

Once the Supply Chain Manager and relevant Contract Manager is satisfied the contract will become live and will be managed and monitored through stage 6 of this process by the Contract Manager and Supply Chain Lead as appropriate.

Key contact for queries: Divisional Supply Chain Leads

Stage 5 – New Partner On boarding Process



Approved Partner On boarding Plan

Contract Name:			
Approved Partner Name:			
Approved Partner Key Contact:			
Supply Chain Manager:			
Date of Visit:			
PLEASE ENSURE ALL ACTIONS IDENTIFIED AT STAGES 2 & 3 OF THE SCMF PROCESS HAVE BEEN ADDRESSED			
Area for review	Comments/ evidence seen (evidence must be attached)	If any outstanding actions please tick column and add to this action plan at the end of this document	
Delivery Locations			
How many offices will be used to deliver the contract? Please supply the addresses of each location	No.	Addresses:	
Health and Safety Safeguarding			
Has a HASP & Risk Assessment been completed for each delivery location? (please circle)			☐
Yes	Please attach evidence	☐	☐
No	Please provide the dates to be completed for each location	☐	☐
Undertake a review of all the completed Health and Safety documents with the Partner and record any identified actions.			☐
Has a Safeguarding Risk Assessment (ISCMFF 09A) been completed as appropriate for each delivery location in line with Ixion Safeguarding procedures? (Please circle)			☐
Yes	Attach evidence	☐	☐
	Provide the dates to be completed for each location	☐	☐
Complete a review of all the completed Safeguarding Risk Assessments and record any identified actions.			☐

Requirements of Partner Staff			
Have all staff been informed of the requirements of the subcontract			☐
Yes	Attached evidence as to how this was completed		☐
No	Outline how this will be completed		☐
Quality of Teaching, Learning and Delivery			
Carry out a review of the Partners QA processes concerning Teaching, Learning, Assessment and Support and record any identified actions.			☐
Obtain copies of Frameworks, Schemes of Work, and lesson plans to ensure they meet the required standards and record any identified actions.			☐
If to be delivered, carry out a review of Functional Skills delivery including programme length, delivery model etc. and record any identified actions.			☐
Information Advice and Guidance			
Review quality of IAG and assurance processes, evidence of Matrix Standard, if not achieved agree timescale to become accredited			☐
How participants and customers are made aware of the support available to them?			☐
How do you promote progression and lifelong learning with Participants and Customers?			☐

Approved Partner On boarding Plan				
Promoting safe and fair practices				
What processes are in place to promote Health and Safety to Participants and Customers?				☐
What processes are in place to promote Equality and Diversity to Participants and Customers?				☐
What processes are in place to integrate Every Child Matters into all activities?				☐
What processes are in place to review environmental sustainability and setting of targets?				☐
Participant and Customer Induction				
Obtain a copy of the Participant and Customer Induction programme. Confirm that it covers the following areas:				☐
Review of Ixion Values and acceptable standards of behaviour	Yes	No	If No add to action plan	☐
Information on Equality of Opportunity and Embracing Diversity	Yes	No	If No add to action plan	☐
Expectations of Participants and Customers to complete the programme	Yes	No	If No add to action plan	☐
Health & Safety in relation to the programme and the work place	Yes	No	If No add to action plan	☐
Safeguarding and personal risk in relation to the programme and the work place	Yes	No	If No add to action plan	☐
The Complaints Process	Yes	No	If No add to action plan	☐
Providing feedback	Yes	No	If No add to action plan	☐
The Appeals process	Yes	No	If No add to action plan	☐
Participants / Customer Disciplinary process	Yes	No	If No add to action plan	☐
Outline of the programme	Yes	No	If No add to action plan	☐
Identification of Customer and Participant needs	Yes	No	If No add to action plan	☐
ISCMF Approved Partner Onboarding Plan: ISCMFF – 09 Page 3 of 7				

Subcontract Management and Monitoring		Tick to confirm area has been discussed.
Give an explanation of the management and monitoring of the subcontract using the Supply Chain Management Framework	Review the subcontract agreement including management fee and explain the services supplied by Ixion for that fee, discuss and resolve any programme queries and record any identified actions.	☐
	Provide a full explanation of the Claims and Self Billing processes including all essential calendar dates for claims to ensure no delay to funding for the Partner and funding and MI for the business.	☐
	Agree a schedule of Performance Monitoring meetings and record on the Subcontract Management Calendar. Confirm expectation to participate in partner forums / webinars	☐
	Explain the Subcontract financial and quality monitoring processes and associated documentation.	☐
	Take the Partner through each of the key processes as held on the Partner Portal. Confirm that this has been completed with the Partner. The on boarding plan cannot be signed off until all claims; financial and billing processes and calendars have been fully explained and are understood by the Partner.	☐
	Explain the administration process including the use and completion of attendance registers as appropriate. Stress: If participants are not attending/ working the Partner must inform their Supply Chain Manager immediately.	☐
	Outline all Management Information requirements and record any actions and/or concerns on the action plan for resolution. Stress: the only data that can be used for performance monitoring is data held within the agreed Ixion systems. Locally produced data cannot be used.	☐
	Explain the Participant and Customer support that is available from the Shared Services.	☐
	Explain the Merlin Standard and the procedures to follow if the Partner believes that Ixion are not acting under the Merlin Principles	☐

Approved Partner On boarding Plan

Professional development of staff		
What procedures are in place to update the knowledge of Teachers, Tutors, Assessors and IAG staff? Provide information relating to: • Standardisation meetings • Evidence of CPD • Team meetings • Additional training sessions • Quality Meetings • Any working groups • Any other activity • IfL membership	Detail and attach any evidence. If no procedures are in place please add to the action plan for implementation.	☐
Marketing & ESF Compliance		
Depending on contract type, outline all branding guidelines to the Partner to ensure all funding requirements are met.		☐
Review all marketing materials for adherence to branding guidelines recording any actions required.		☐
ESF Co Financing / ESF Match requirements	Is this provision an ESF Co-Financed Programme? Yes / No Is this provision in scope as a source for ESF Match Funding ie SFA WPL, Apprenticeship, Traineeship or Classroom for Unemployed? Yes / No If Yes to either of the above, please review and provide a full narrative response to the following: 1) Is the ESF Poster and Plaque with logo displayed in a prominent place in the premises? a. Does the Poster meet all the content requirements? b. Is the location of the Poster the most commonly attended by participants during the life of their contract? c. Are Logos displayed at other well attended locations? Please capture photo evidence of display of plaque /poster that can clearly be related back to the Partners Premises and upload a copy of image to Ixion Gateway Portal 2) Does the Partner have in place an Equal Opportunities Policy and Action Plan?	☐

	3) Does the Partner have in place Sustainable Development Policy and Action Plan? 4) Are all participants informed they are on a programme part financed by ESF and signed by the learner to confirm they have been informed? a. The ESF logo must be located on all participant enrolment forms and all key signed learner materials, training materials and Partners websites as a minimum requirement. b. Is the ESF logo used on the above the current and correct version? 5) Retain documentation for audit including having in place a Document Retention Policy that reflects the minimum date of 31st December 2030?	
IT systems and requirements as appropriate		
Confirm with the Partner that any security arrangements as required by the funding body have been signed off by the Ixion IT Security Manager. Record any actions required.		☐
Confirm with the Partner that they have taken delivery of any IT as part of their contract agreement. Record any actions required.		☐
Confirm with the Partner that all necessary system access has been requested, including access to the Partner Portal. Record any actions required.		☐
Arrange training on MI systems to ensure the accurate collation and recording of data in line with Ixion data standards. Record actions and training dates required.		☐

On-board Action Plan

Area to be Addressed & Action Required	Planned Timescale & Milestones	Person responsible	Date Completed/reviewed & any comments
Refer to the Stage 3 checklist and identify if there are any outstanding actions to be completed by the Partner. If yes, highlight as a risk on the action plan and continue with the on-board plan, if no then continue with the on-board plan.			
Approved Partner On boarding Plan			
The information above is accurate. I/we undertake to complete any outstanding actions noted above as required.			
Partner Signature:			
Supply Chain / Contract Manager Signature:			
Date:			
Checked by Supply Chain Lead:			
Once completed the supply chain lead should upload this document to the contracts database			

Safeguarding Risk Assessment for use with Partners

For completion:

- Alongside the 'Approved Partner On-boarding Plan' - ISCMFF - 09 for ALL new Partners (and annually re-assessment thereafter) or significant organisation changes.
- When a Learner / Participant is placed with /referred to a Partner.

Partner Organisation Details

Organisation Name		Number of Employees	
Type of Business		Date Risk Assessment Completed	
Workplace Address (if more than one location please detail)		Main Contact (Full Name and Tel No)	
Please confirm that this Risk Assessment covers all delivery locations	Yes / No If no, please confirm which delivery locations are excluded from this assessment		
Programme Offer			
Learner(s)/ Participant(s) Names			
Supervisor(s) Names			
Type of provision carried out at workplace location i.e. Skills / Employability / Offender Management			
Enforcement Action (Prosecutions, Notices)			
Health and Safety Committee /Safety Representative			

Safeguarding Measures

Ref		Yes/No	Evidence / Comments	RAG Rating (See Appendix 1)
1	Is there a safeguarding children /adults policy in place?	Y / N	Please ensure latest version is uploaded to Portal	
2	When is the policy next due to be review?			
3	Is the Policy accessible to all?	Y / N	Please confirm how Policy is communicated /accessible	
4	Who is the named designated safeguarding contact?			
5	Who is the Manager responsible for ensuring safeguarding measures are met? (If different to the designated contact)?			
6	Are the contact details for the names person available for all?	Y / N	Please confirm how contact details are communicated /accessible	
7	What safeguarding training has the designated contact completed and to what level?			
8	When is the designated safeguarding contact due to attend refresher training?			
9	When is the Manager (if different to the designated contact) due to attend refresher training?			
10	Has the Safeguarding risk assessment previously been undertaken?	Y / N	If yes, date of last assessment	

11	What were the outcomes of the last safeguarding risk assessment?			
12	Are there any outstanding actions from the risk assessment due to be completed?	Y / N	If yes, please detail with actions taken	
13	When the next Health & Safety is risk assessment due to be completed?			
14	Is safeguarding covered as part of a staff induction programme?	Y / N	If yes, provide evidence	
15	Has it been identified which Partner staff DBS checks are required?	Y / N	If no, complete the following DBS risk assessment at 15a	
15a	Will the Partners staff be working regularly and / or unsupervised with customers/learners who have been identified as vulnerable or are under 18?	Y / N	If yes, then relevant subcontractor employee DBS checks are required	
15b	Does the Partner employ staff under the age of 18?	Y / N		
16	Have all necessary DBS checks been completed?	Y / N	If no, what action is taken to ensure customers/learners are protected?	
17	What action is taken if any adverse DBS checks are received?			
18	What related safeguarding training is undertaken by staff that has indirect contact with customers/learners?			

19	Is staff safeguarding training due to be reviewed?	Y / N	If yes, when	
20	Will any customer learner be placed in 'Regulated Activity'? (Refer to DBS Eligibility Guidance)	Y / N	If yes, the customer\learner must be DBS checked by the Subcontractor	
21	Are sampling checks undertaken if working in a Regulated Sector?	Y / N	If yes, please indicate frequency	

Please complete Action Plan as appropriate				
Ref as above	Action	Owner	Completion Date	Progress

All above actions will be incorporated in to On Boarding Plan (ISCMFF – 09) and /or on going Partner Performance Monitoring Template (ISCMFF – 12)

Action plan agreed with:

Partner Representative (Print Name)

Signed Date.....

Ixion Representative (Print Name)

Signed Date.....

Action Plan Review Date:

1.....

2.....

3.....

Appendix 1: Question Weighted RAG Rating	RAG Rating
1. Is there a safeguarding children /adults policy in place?	If No - Red
2. When is the policy next due to be review?	
3. Is the Policy accessible to all?	
4. Who is the named designated safeguarding contact?	If No DSO - Red
5. Who is the Manager responsible for ensuring safeguarding measures are met? (If different to the designated contact)?	
6. Are the contact details for the names person available for all?	
7. What safeguarding training has the designated contact completed and to what level?	If No DSO Training - Red
8. When is the designated safeguarding contact due to attend refresher training?	
9. When is the Manager (if different to the designated contact) due to attend refresher training?	
10. Has the Safeguarding risk assessment previously been undertaken?	
11. What were the outcomes of the last safeguarding risk assessment?	
12. Are there any outstanding actions from the risk assessment due to be completed?	
13. When the next Health & Safety is risk assessment due to be completed?	
14. Is safeguarding covered as part of a staff induction programme?	If No - Red
15. Has it been identified which Partner staff DBS checks are required?	If No - Red
15a. Will the Partners staff be working regularly and / or unsupervised with customers/learners who have been identified as vulnerable or are under 18?	
15b.Does the Partner employ staff under the age of 18?	
16. Have all necessary DBS checks been completed?	If No - Red
17. What action is taken if any adverse DBS checks are received?	
18. What related safeguarding training is undertaken by staff that has indirect contact with customers/learners?	
19. Is staff safeguarding training due to be reviewed?	
20. Will any customer learner be placed in 'Regulated Activity'? (Refer to DBS Eligibility Guidance)	
21. Are sampling checks undertaken if working in a Regulated Sector?	

If a Partner is RAG rated Red in questions 1,4,7,14,15 or 16, please refer immediately to Ixion Safeguarding Manager for advice on next steps

ISCMF Safeguarding Risk Assessment for use with Partners: ISCMFF – 09A Page 6 of 6 Version: April 2017

Ixion Holdings Delivery Associate

Request / Approval for Associate Agreement

To be completed by the C1 Manager and submitted to Head of Group Sub Contracting

Contract / Programme the Associate will the working on	Contract / Programme(s):
Who is the agreement with? Company or Individual	Company / Individual
If company, confirm company registered name, company house number and registered office address	Company Name: Registered Number: Registered Address:
If Individual	Associate Name: Address:
Commencement & termination date of agreement (always to be reviewed after 12 months)	Commencement: Termination:
Named IXION HOLDINGS Lead Liaison with the Associate	
The FULL scope of the Services to be provided by the Associate to be detailed in the Schedule of Service (see example Agreement for required information for content)	
Any Reporting and /or Success Measures for the Services	
Fees Agreed for Services	
Any IT equipment for issue, systems access agreed for Associate	
Requirements for Training on equipment, systems, administration	

C1 Manager Proposing Associate (Name):

Date submitted to HoGSC (copied to COO):.....

HoGSC acknowledges receipt of request (date):.....

COO Agreement to appoint Associate (Date):.....

COO Signature:.....

HoGSC Completed HMRC Employment Status Check

Employment Status determined as:	
Date of Check	
Confirm copy of check is on file with Associate Agreement	

Ixion Holdings Delivery 'Associate' Induction / On-boarding Checklist

1) Bringing on an Associate for Delivering Services to Ixion Holdings

When a C1 Manager identifies a need for an 'Associate' for delivery on their programme, the following will need to be set out clearly (**in the provided template**) to the Ixion Head of Group Sub Contracting who will draft the agreement.

Action	Who	When	Completed/ Date
Who is the agreement with? Company or Individual	C1	In advance of the Associate commencing delivery	
If company , confirm company registered name, company house number and registered office address	C1		
Commencement & termination date of agreement (always to be reviewed after 12 months)	C1		
Who the Ixion Holdings Lead Liaison with the Associate is	C1		
The full scope of the Services to be provided by the Associate	C1		
Any Reporting and /or Success Measures for the Services	C1		
Fees Agreed for Services	C1		
Any IT equipment for issue, systems access agreed for Associate	C1		
Requirements for Training on equipment, systems, administration	C1		

2) As a Delivery Partner the Associate will be required to register on the Supplier Portal and supply a minimum level of information to Ixion Holdings as part of their Agreement with Ixion, and Ixion are required to ensure the Associate has read and understood named Corporate Policies.

Action	Who	When	Completed/ Date
Associate Registers on the Portal https://in-tendhost.co.uk/ixion/asp/Home	The Associate	When the C1 Manager has confirmed intentions to appoint an Associate	
Upload documents to the Portal:			
- Where Associate is Self Employed Individual - secure verification of identity AND Right to Work			
- Updated CV and Qualifications of Assessors, Tutors, IQAs			
- DBS Certificate Number (dated within last 3 years)			
- Valid Employers Liability Certificate of Insurance (if appropriate for company)			
- Valid Public Liability Certificate of Insurance			
- Valid Professional Indemnity Certificate of Insurance			
Associate has been issued, read and understood: (Confirmed by completing template)	C1 Manager	When the C1 Manager has confirmed intentions to appoint an Associate	
Ixion Quality Assurance Policy			
Ixion Health & Safety Policy			
Ixion Equality Policy			
Ixion Safeguarding Policy and the below policies as appropriate:			

3) The Head of Group Subcontracting will draft the Associate Agreement when the C1 Manager has supplied all information as set out in 1)			
Action	Who	When	Completed/ Date
Draft copy of Agreement is sent to C1 Manager and COO for sign off	HoGSC		
Once agreed the Head of Group Subcontracting will send the Associate the Agreement (e-copy), setting out timescales for return and request any further additional information that is required	HoGSC		
Agreement is signed by Ixion Holdings Finance Director and a copy returned to the Associate for their records	HoGSC / FD		
Head of Sub Contracting enters the Agreement details on the Associate Log	HoGCS		

4) Based on the requirements for the Associate set out in 1) for: - Any IT equipment for issue, systems access - Requirements for Training on equipment, systems and administration			
Action	Who	When	Completed/ Date
Based on the commencement date the C1 Manager / or Ixion lead officer will need to 'raise a ticket' with IT to request any agreed IT equipment, e-mail addresses and/or systems access rights	C1 Manager		
In preparation for the commencement date a date for IT equipment issues and associated training on equipment and systems access will be agreed between the C1 Manager/ IT and the Associate	C1 Manager/ IT /Data & Compliance		
C1 Manager will induct the Associate through all required administration and processes	C1 Manager		

I can confirm that all the above actions have been completed for the below Associate:

Associate Name	
C1 Manager (Signed)	
Head of Group Sub Contracting (Signed)	
Head of IT (Signed)	
Head of Compliance (Signed)	

Ixion Holdings Delivery Associate

Confirmation of IXION HOLDINGS Policies

I confirm that I have received the following IXION HOLDINGS policies and that I have read and understood them, and shall comply /adhere to the terms and conditions set out within.

	v
IXION HOLDINGS Quality Assurance Policy	
IXION HOLDINGS Health & Safety Policy	
IXION HOLDINGS Equality Policy	
IXION HOLDINGS Safeguarding Policy	

and the below policies (as appropriate)

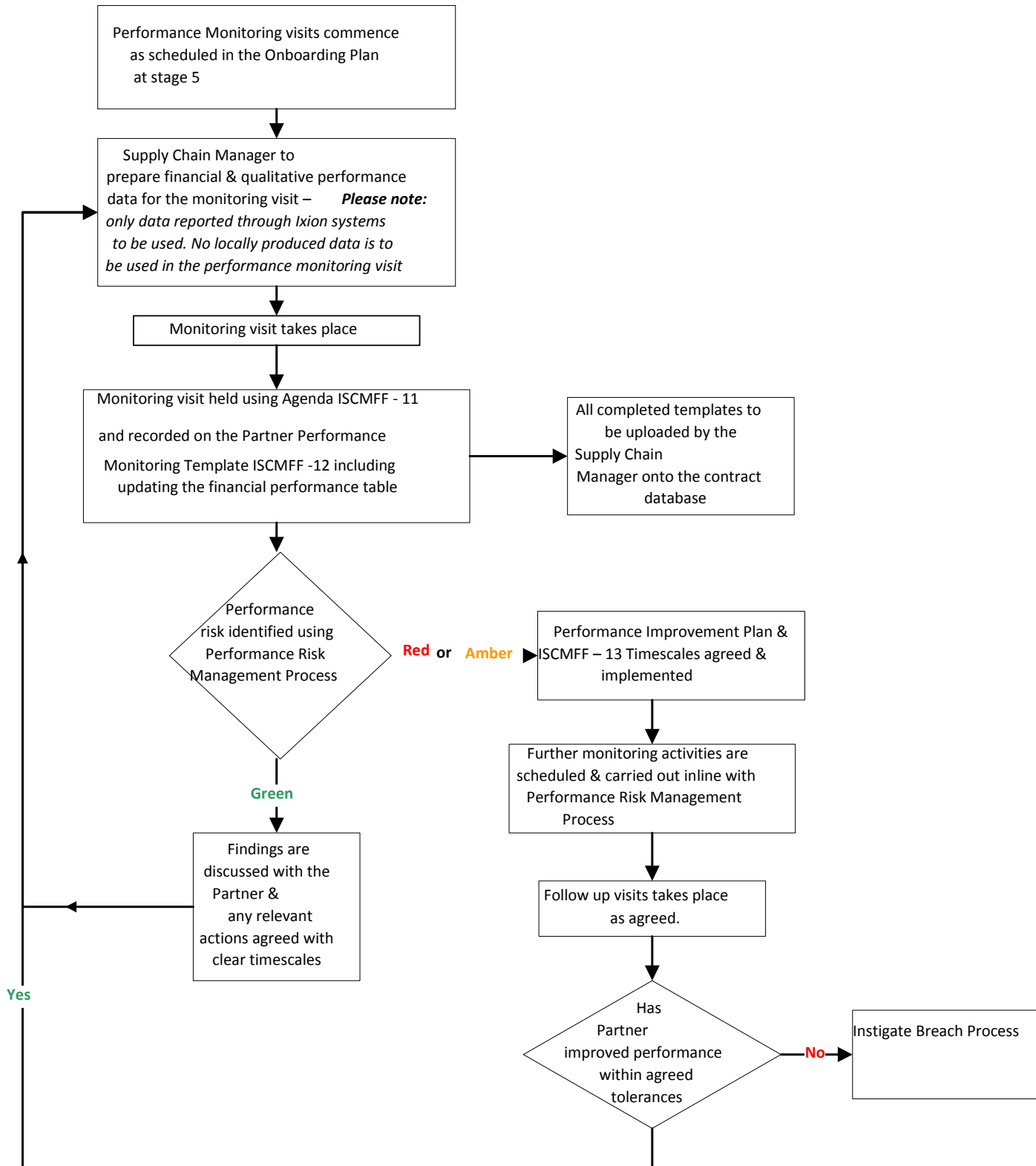
	v

Full Name of Associate:	
Signature:	
Dated:	

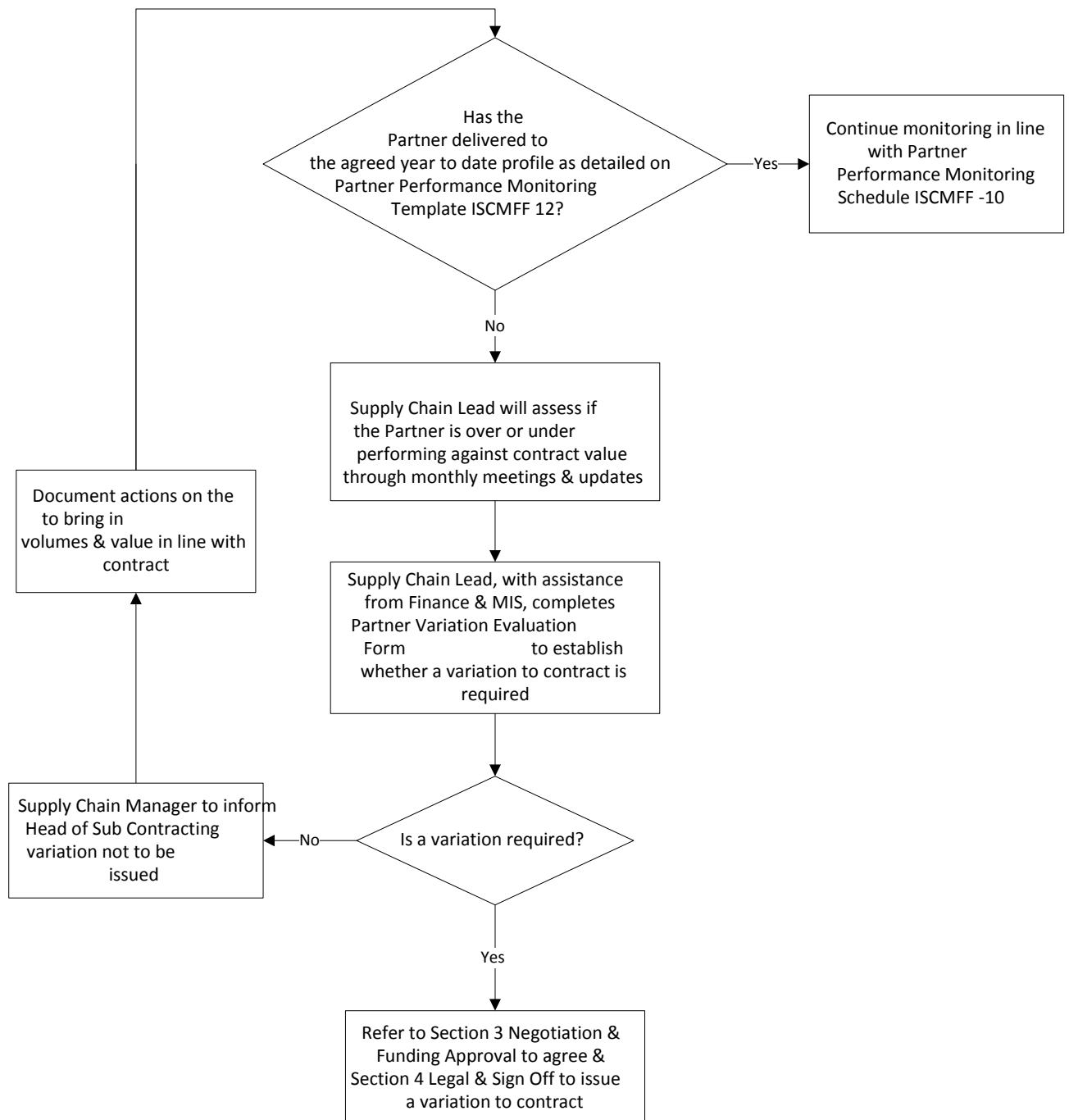
SECTION 6

MANAGEMENT AND MONITORING

Stage 6 – Management & Monitoring Process (Contractual, Qualitative & Financial)



Stage 6 –Financial Contract Monitoring Process



Management and Monitoring Process

(Contractual, Financial, Qualitative)

The purpose of this process is to ensure all Partners are managed appropriately to maintain high standards and achieve their contractual targets throughout the life of their contract with Ixion. Through an effective monitoring process, risk will be identified at the earliest opportunity and reported in an agreed process up the management chain to Ixion Executive level in order that funding and success are protected at every opportunity for the business and the Partner.

Effective reporting will ensure that all stakeholders are kept informed of the progress of every Partner enabling risk to be applied to all business decisions.

From the outset, all Partners will have an agreed schedule of monitoring visits that will encompass performance, quality and compliance to contract and funding body requirements.

The Standard Agenda and Performance Monitoring Template are to be used when planning and monitoring the Partner. In planning for a performance monitoring visit, the Supply Chain Manager will extract all necessary data from the agreed Ixion systems to discuss with the Partner.

**Ixion data is to be the only source of performance data for performance monitoring.
Locally produced data from the partner must not be used.**

Performance Risk Management Process

As part of their subcontract, the Partner will be issued with performance and qualitative targets to be achieved throughout their contract life.

The Partner will be expected to achieve the targets, with the Supply Chain. Supply Chain Manager monitoring performance on a monthly basis using the Performance Monitoring Template and in line with the risk rating allocated.

Where applicable, the targets included in the subcontract will include financial profiles that must be reviewed during the Performance Monitoring process. This should include a review of actual performance against profile and a forecast of future performance against profile. The Financial Contract Monitoring Process should be followed to assist with this.

Risk Ratings

Through the Performance Monitoring process, the Partner will be applied a Red, Amber, Green risk rating. The ratings will be determined after each visit by identifying whether the Partner is performing within agreed tolerance levels across four key areas Performance, Customer, Process and People. Outcomes acquired through performance monitoring meetings will be input to the Performance Monitoring Assessment Scorecard and a risk value calculated. Tolerance levels to determine the level of risk have been agreed with the Ixion Executive and are as follows:

Green: – Operating at or above 75% of Target (20-15 points)

Amber: – Operating between 50 - 74% of target (14-10 points)

Red: – Operating below 50% of target (9 - 4 points)

The risk rating will be used to determine the level of support to be given to Partners and will also inform the immediate performance management arrangements as follows which will be recorded in the Partner Performance Management Schedule:

	Weekly	Monthly	Quarterly	Annually
Red	Weekly Performance / Forecast Report Call	Monthly Report 1-to-1 Performance Review Performance Improvement Plan	Questionnaire Contract and Quality Review	Contract Review S Review SAR Review all Insurances, Accreditations, Policies & Procedures
Amber	Weekly Performance / Forecast Report	Monthly Report 1-to-1 Performance Review Performance Improvement Plan	Questionnaire Quality Review	Contract Review Review SAR Review all Insurances, Accreditations, Policies & Procedures
Green		Monthly Report 1-to-1 Performance Review	Questionnaire Quality Review	Contract Review Review SAR Review all Insurances, Accreditations, Policies & Procedures

Performance	• % financial and contractual performance to agreed profile and success targets
Process	• Internal Audit outcomes • Claim and billing errors • Quality of development plans • Quality submission of reviews, evidence and progression
Customer	• Marketing activity as appropriate Complaints Process • Location • Early leaver/Retention ratios • Effective learning • Health & Safety • Safeguarding
People	• Staff Recruitment & Induction • Staff Qualifications • Equal Opportunities • Observations of teaching, learning, assessing and IAG • Resourcing to contract • Turnover

	PERFORMANCE		PROCESS		CUSTOMER		PEOPLE	
% Risk (20 points max)	40% 8 POINTS		20% 4 POINTS		20% 4 POINTS		20% 4 POINTS	
SCORING	>100%	= 8 Points	Full assurance	= 4 Points	Very Good	= 4 Points	Very Good	= 4 Points
	70 – 100%	= 6 Points	Substantial Assurance	= 3 Points	Average	= 2 Points	Average	= 3 Points
	50 – 69%	= 3 Points	Limited Assurance	= 1 Points	Poor	= 0 Points	Poor	= 1 Points
	< 50 %	= 1 Points	Nil Assurance	= 0 points				

Risk Banding	
Points Scored	Assessed Risk
20 – 15	Green (Low)*
14 – 10	Amber (Medium)
9 – 4	Red (High)

The role of Supply Chain Manager is to ensure every Partner is operating to at least an Amber level.

Where a Partner operates at Red level, the Supply Chain Manager will provide support using guidance from the Ixion Support Services as appropriate. They will implement a targeted improvement plan ISCMFF - 13 within timeframes agreed by the Divisional Director. If the Partner does not improve within the agreed timeframes; the Supply Chain lead will implement the Breach Management Process ISCMFP -12.

If the Partner improves out of the Red tolerance level, an Amber or Green level as appropriate will be applied in line with the Partner performance.

Throughout every stage of the Performance Monitoring process, all completed performance monitoring documentation will be uploaded onto the contracts database by the Supply Chain Manager in the appropriate area.

Reporting

The Supply Chain Manager will report the RAG rating of every Partner to the Divisional Director on a monthly basis through the Risk Reporting Process. In addition, the Supply Chain Manager will report the progress of all Partners allocated a Red rating to ensure the Divisional Director is aware of the likely financial and success risks in order to make informed decisions.

The Divisional Directors will report the RAG rating of all Partners in their scheduled updates to Ixion Executive on a monthly basis.

Internal Monitoring

The Supply Chain Manager will be responsible for internally monitoring on a quarterly basis the monitoring documents uploaded to the contracts database.

Using the Partner Quarterly Review Template the Supply Chain Manager will complete a review of all monitoring documents completed to assure the integrity of all contract monitoring.

Internal Monitoring will include:

- Performance (financial, over and under contract delivery, inform proposed contract variation, value for money)
- Quality Assurance
- Compliance
- ESF monitoring as appropriate
- The outcomes of any commissioner / funding body monitoring visits

The risk rating from the Subcontract Quarterly Review will be reported at Ixion Management Board and up to Ixion Executive Level through the Risk Reporting Process

Note: Financial & contractual performance will be differentiated in the monthly performance monitoring if required

Key contact for queries: Divisional Heads of Service

PARTNER PERFORMANCE MONITORING SCHEDULE OF ACTIVITY



Partner Name:

Activity	Frequency	Responsibility	Year:												
			July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July
1 -2 -1 Performance Review Meeting	Monthly	Supply Chain Manager & Contract Manager													
- Contract Performance															
- Claims Finance															
- Systems & Data															
Security															
- Health & Safety															
- Safeguarding															
- Feedback & Complaints															
- Best Practice															
Contract Review Meeting (as monthly meeting and)	Quarterly	Supply Chain Manager & Contract Manager													
- Review of quality /observations monitoring															
- Review of compliance monitoring															
- Staff Training /Support Needs															
- Equality & Diversity															
- Environmental & Sustainability															
Conference calls	As required	Supply Chain Manager													
Quality & Compliance Reviews Inc.:	Quarterly	Quality & Compliance													
-SAR / QIP															
-Observations of IAG, Teaching & Learning, training and assessment															
Annual Checks Inc. Insurance/policies/accreditati ons	At least annually	Supply Chain Manager													
Unannounced Visits	Monthly	Supply Chain Manager /Quality & Compliance Staff													

Partner Performance Review Agenda

Date:

Venue

Chairperson:

Attendees:

In Attendance:

Apologies:

Item	Agenda Item	Owner
1	Welcome and Introductions	
2	Review and Agree Minutes from Last Meeting	
3	Contract Performance Review	
4	Claims / Finance	
5	Quality & Compliance	
6	Systems & Security	
7	Staff Training / Support Needs	
8	Equality & Diversity	
9	Environmental & Sustainability	
10	Health & Safety / Safeguarding	
11	Feedback & Complaints	
12	Information Sharing / Best Practice	
13	AOB / Additional Agenda Items	
Note	SCHEDULED REVIEW ACTIVITY	Date
	Next monthly review activity	
	Next Quarterly review activity	
	Next planned observation / quality check visit	
	Next planned compliance visit	

ISCMF Partner Performance Monitoring Agenda: ISCMFF – 11



Partner Performance Monitoring Template

To be completed by the Supply Chain / Contract Manager

Partner Name					
Date					
Attendees					
cc					
No.	Action	Update	Action by Who	Deadline date	Current Status
1. Minutes from last meeting (Carry out a review of actions from the previous monitoring report ensuring any actions carried forward or from a previous meeting are reviewed/discussed and updated)					
Performance element (2 & 3)			Score		
2. Performance - Please Note: the only data to be discussed must be data generated from Ixion systems in line with Ixion data standards. No locally produced information is to be used to discuss and score contractual performance. (Include any identified risks for discussion, resource/work issues, performance incentives which may give incorrect report outcomes, communication issues etc.)					
Is performance on target as per Contract? Please complete the financial values and volumes template at the end of this document.					
ISCMF Partner Performance Monitoring Template: ISCMFF – 12 Page 1 of 8 Version 9 January 2019					



No.	Action	Update	Action by Who	Deadline date	Current Status
3.	Does your organisation operate a reward and recognition payment model	Yes ☐ No ☐			
	If Yes what tangible evidence is there to demonstrate that it drives the correct behaviours and improves performance outputs? (examples could be staff performance monitoring)				
	Who makes the final decision re reward payments and is there clear evidence to demonstrate impartiality? (example of moderated payments to staff)				
Process Element (4,5,6,7,8)			Score		
4. Claims & Billing Errors					



No.	Action	Update	Action by Who	Deadline Date	Current Status
5. Quality of reviews, evidence and progression (Include a review of the Partners monitoring processes on the subcontract and any additional monitoring completed by the contract holder including quality file checks to ensure reviews are timely, properly documented, evidence of activity is clearly documented, progression of all types is clearly recorded, where necessary, work has been marked timely and tests completed in a timely fashion to support progression).					
6. Compliance and internal/external audit activity (Include a review of the Partners compliance monitoring processes on the subcontract and any additional compliance monitoring completed by the contract holder including file checks, internal and/or external Audits completed or due, unannounced visits, issues or preparation for audit needed and/or feedback and outcomes).					
ESF Compliance If this provision is an ESF Co-Financed Programme and /or in scope as a source for ESF Match Funding (SFA): include within the review, display, location and content of ESF Poster and Plaque against ESF requirements, progress against the EO Action Plan (capture response in Q7) and Sustainable Development Action Plan (capture in response to Q10), confirmation that participants eligibility checks have been completed and they are informed they are on a programme part financed by ESF and this is confirmed by learner signature, check all enrolment forms/ training materials and Partner Website contains the ESF logo, is all ESF branding current and correct version being used?, confirm documents are retained according to date in Partners Document Retention Policy (for ESF 2014-2020 this is 31 st December 2030) Has the partner participated in any project evaluations, participant surveys and responded to any requests for participant Case Studies?					

No.	Action	Update	Action by Who	Deadline date	Current Status
7. Quality of development plans (Include a review of the progress made against the performance, quality, cross cutting themes, environmental sustainability (where necessary) development plans. Is sufficient progress being made in these areas and is this progress having a positive impact on the performance of the contract.)					
8. Systems & Security (Include any issues/changes required/identified, discuss if any issues are impacting performance, discuss any changes/update/progress towards any required security plan and response/feedback, discuss information available on the web/intranet, shared systems volume of hits/recorded usage, discuss data security/protection include data storage, data not left out in open view, on copiers or printers and if necessary raise any concerns or conduct a review of the office environment, review the storage of special customer information where necessary etc.)					

No.	Action	Update	Action by Who	Deadline date	Current Status
People element (9,10,11)			Score		
9. Staff Training / Support needs (Discuss any identified staff training needs including mandatory training requirements; staff turnover and any impact on the resourcing required for the contract, staff qualifications required or needing updating, any changes to staffing structure resulting in any additional DBS checks required. Updates to the staff DBS checklist – ensure latest copy is uploaded to In-tend. Commitment to Living Wage Employer Status, Identifying any risks in contravention of the Modern Slavery Act)					
10. Equality & Diversity (Include any E&D related topics of discussion, E&D data update, information update, legislation changes, single equality related information, any Equality Impact assessments to be completed, conduct a review of the EO plan, identify any initiatives in place to meet the needs of different customer groups and/or identify where there are gaps etc.)					
11. Observations of IAG, teaching and learning, training and assessment (Include a review of the observations completed in the month against the target to be completed, review the year to date grade profile, identify any underperformance, ensure staff conducting observations have been trained to complete them, identify any good practice, agree targets for the following month to ensure all staff as appropriate have been observed)					



No.	Action	Update	Action by Who	Deadline date	Current Status
Customer Element (12,13,14,15)			Score		
12.	Health & Safety, Safeguarding (Include any H&S related topics of discussion, information update, legislation changes, safeguarding / Prevent incidents reported in line with process, accident/incident reports in line with process, any H and S vetting of new premises, safeguarding risk assessments required – ISCMFF 09A)				
13.	Early leavers/ Retention/ FTA (Discuss volumes, reasons, impacts, actions to drive appropriate retention, review any action plan to drive appropriate retentions and methodologies to ensure leaver documentation is completed appropriately to minimise risk on performance)				



No.	Action	Update	Action by Who	Deadline date	Current Status
14. Feedback and Complaints (Discuss latest feedback results, improvements being implemented to address feedback given, record positive feedback comments, identify the volume of complaints received at the different stages and whether they have been resolved to timeframe or remain unresolved)					
15. Marketing (Include a review of any guidance updates, marketing updates, good news stories, branding guidelines followed and correct campaigns to improve volumes and or widen participation etc.)					
Any Other Business					
16. Information Sharing (Additional opportunities, collaboration, examples of good and best practice* identified during review, funding body memos, examples of 'value for money'* etc.) *See Annex B for Guide to Identifying Good/ Best/Excellent Practice and Guide to Assessing 'Value for Money'					



I/we agree the information is accurate and agree to complete the actions noted above.

Partner Signature:

Date:

Ixion Supply Chain Manager Signature:

Date:

Ixion Line Manager/Director:

Date

Date of Next Meeting (in line with Performance Monitoring schedule):

Location of Next Meeting:



Post Review Action Plan Template

To be completed by the Supply Chain / Contract Manager

Partner Name						
Date of Plan						
Performance Period under Review						
Partner & Ixion Representatives agreeing Plan						
Action No.	Targets	Target/KPI (using SMART objectives)	Actual/ Achieved	Task to be completed and Support to be arranged	Assigned To/ Time-scale	Date of Review and Notes

I /we agree this information is accurate and agree to complete the actions noted above.

Signed _____ on behalf of Partner

Date:

Signed _____ Ixion Supply Chain /Contract Manager

Date:

ISCMFF Post Review Action Plan Template: ISCMFF – 13 Part 1 Version 5.2 September 15



Partner Performance Improvement Plan Template

To be completed by the Supply Chain / Contract Manager

Partner Name						
Date of Plan						
Performance Period under Review						
Partner & Ixion Representatives agreeing Plan						
Action No.	Targets	Target/KPI (using SMART objectives)	Actual/ Achieved	Task to be completed and Support to be arranged	Assigned To/ Time-scale	Date of Review and Notes

I /we agree this information is accurate and agree to complete the actions noted above.

Signed _____ on behalf of Partner

Date:

Signed _____ Ixion Supply Chain /Contract Manager

Date:

ISCMF Partner Performance Improvement Plan Template: ISCMFF – 13 Part 2 September 2015



Partner Quality Plan Template

To be completed by the Supply Chain / Contract Manager

Partner Name						
Date of Quality Plan						
Risk Rating						
Partner & Ixion Representatives agreeing Quality Plan						
	ISSUE	ACTIONS	TARGET DATES	MEASURE OF SUCCESS	Responsible person	Update

I /we agree this information is accurate and agree to complete the actions noted above.

Signed _____ on behalf of Partner

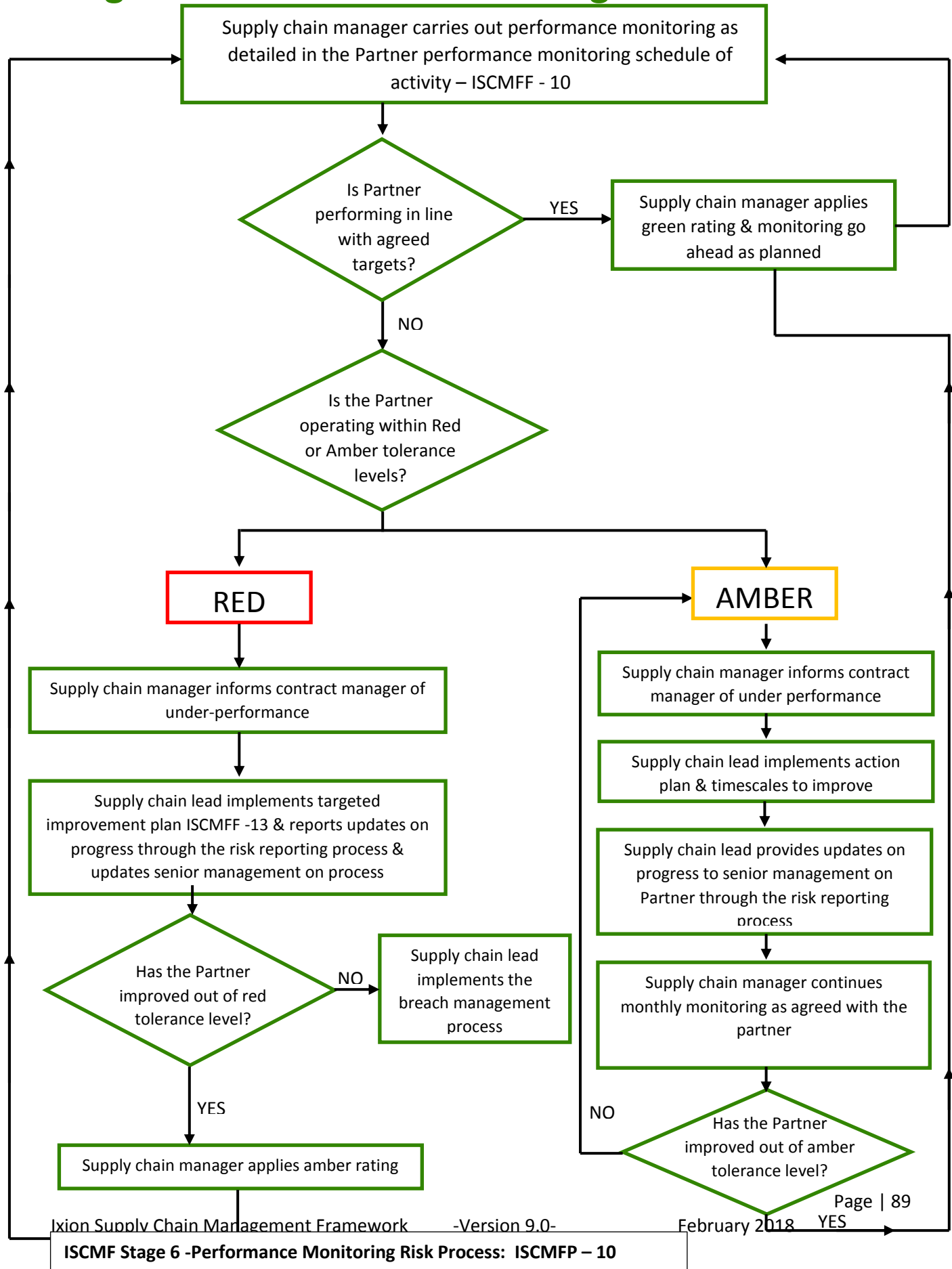
Date:

Signed _____ Ixion Supply Chain /Contract Manager

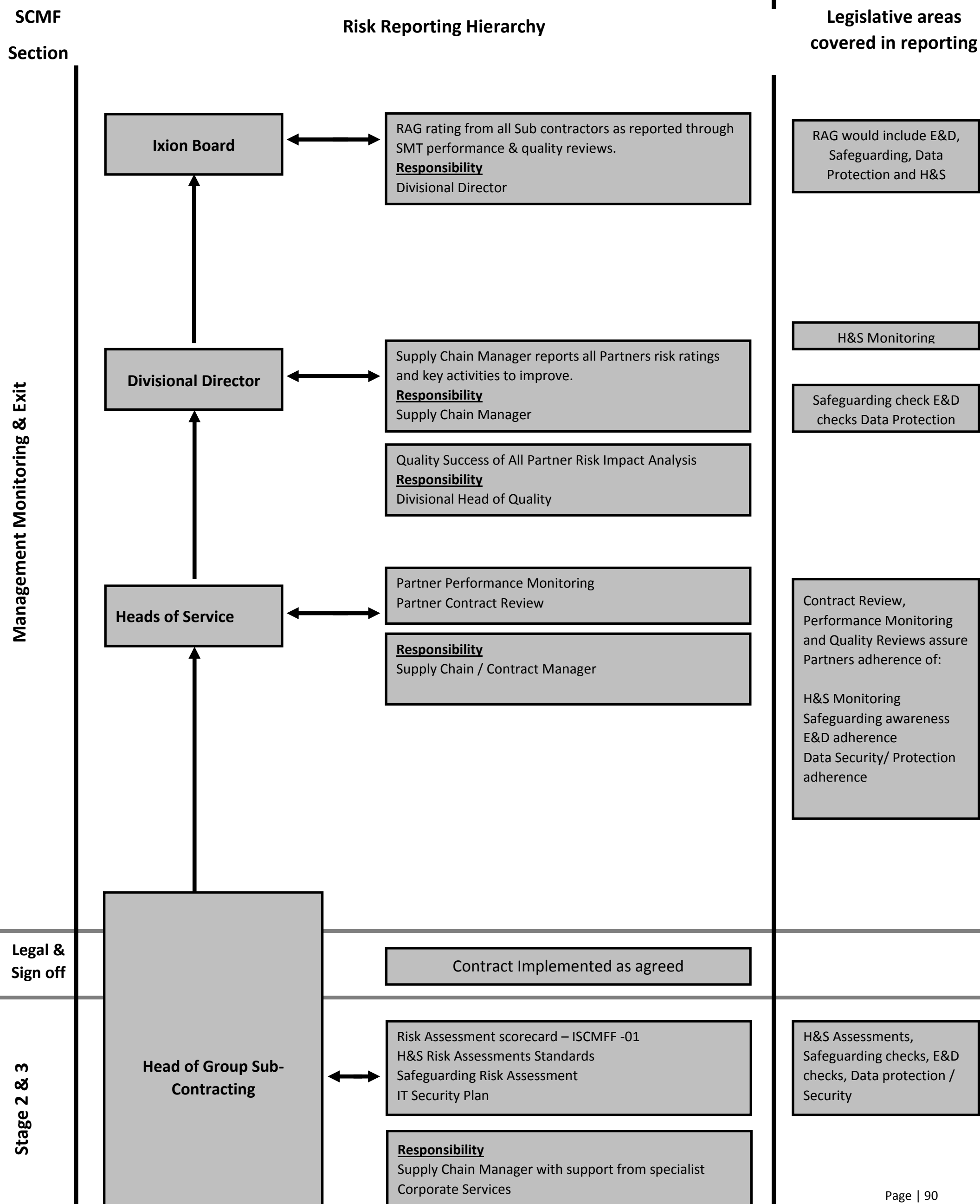
Date

ISCMFF Partner Quality Plan Template: ISCMFF – 13 Part 3 Version 5.2 September 15

Stage 6 Performance Monitoring Risk Process



Risk Reporting Process

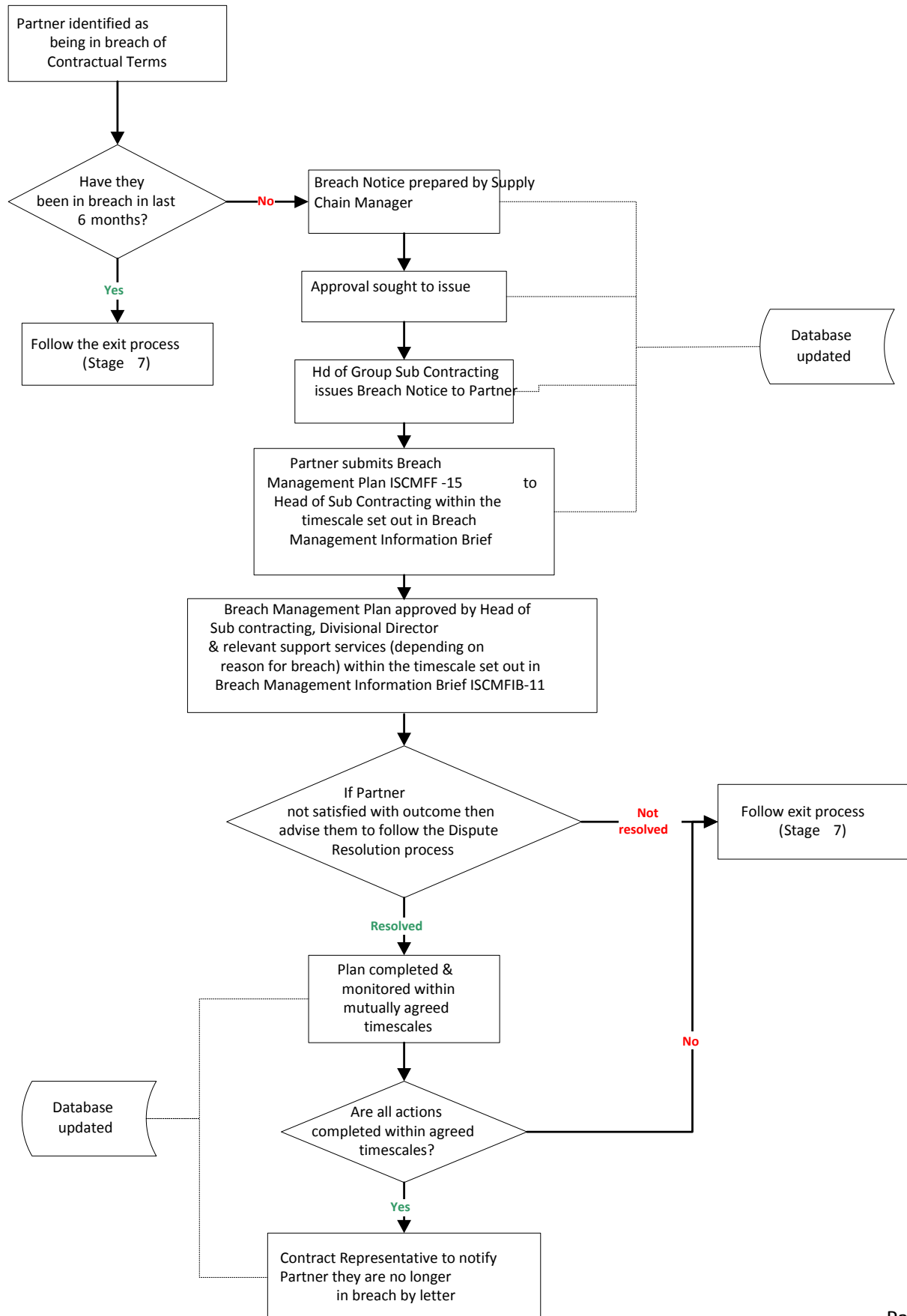


Internal Use Only

							
PERFORMANCE MONITORING RISK ASSESSMENT SCORECARD (ISCMFF14)							
(To be completed at the end of the performance monitoring visit and uploaded to the contracts database with the performance monitoring template. The RAG status will inform the risk reporting and management process in stage 6 of the SCMF)							
Partner Name							
Performance				Score	Enter Points Scored	Action to be taken	
Performing at 100% or more of contractual target				8		No urgent action required	
Performing at between 70-99% of contractual target				6		Implement a performance improvement plan to achieve desired result within a specified period of time	
Performing at less than 69% of contractual target				3		Immediate action plan required with close monitoring to specified targets and timeframes to achieve an agreed interim performance level	
Performing at less than 50% of contractual target				1			
Process							
Full assurance rating allocated				4		No urgent action required	
Substantial assurance rating allocated				3		Implement a process improvement plan to continue to drive improvements in those areas that have impacted the assurance rating	
Limited assurance rating allocated				1		Implement a process improvement plan to strict timeframes to drive improvements in those areas that have impacted the assurance rating	
Nil assurance rating allocated				0		Implement an immediate plan with interim targets to drive improvements. Discuss with Operational Director to consider breach if previous plans have not yielded improvements)	
Customer							
Methods to support customer/participants are very good				4		No urgent action required	
Methods to support the Customer/ participant are average				2		Implement a Customer/ Participant improvement plan to continue to drive improvements in those areas that have impacted the assurance rating	
Methods to support Customer/participants are poor				0		Implement an immediate plan with interim targets to drive improvements. Discuss with Divisional Director to consider breach if there is a perceived risk to Ixion	
People							
Processes to manage and monitor people are very good				4		No urgent action required	
Processes to manage and monitor people are average				3		Implement an improvement plan to continue to drive improvements in those areas that have impacted the assurance rating	
Processes to manage and monitor people are poor				1		Implement an immediate plan with interim targets to drive improvements. Discuss with Divisional Director to consider breach if there is a perceived risk to Ixion	
				Total Score:			
USE THIS INFORMATION TO INFORM THE RISK RATING				Max : 20		0	
Red	9-4 points	Implement immediate improvement plans to strict timeframes and targets with the Partner. Discuss next steps with the Operations Director as the risk is or remains high. Amend the monitoring calendar to ensure sufficient support and monitoring is in place.					
Amber	14-10 points	Implement or continue with improvement plans, focussing on the areas that pose most risk, with strict timeframes and targets. Amend the monitoring calendar to ensure sufficient support and monitoring is in place.					
Green	20-15 points	Ensure improvement plans are in place for any area that is a high risk area i.e. Legislative or regulatory. Continue to monitor all other areas as detailed in the SCMF.					
Risk Rating : Green / Amber Red- Please delete as appropriate to show assessment outcome							
Comments : Identify any underpinning areas that have contributed to the scores:							

Signed :	Supply Chain Manager Name:
Dated :	

Stage 6 – Breach Management Process





Breach Management

The purpose of this process is to ensure that when a Partner is put in to breach the correct action is taken to inform the Partner of this and to ensure the Partner improves. This document sets out the process to be followed.

The Supply Chain Manager and Divisional Director identifies when a Partner should be put in breach due to underperformance or a breach of non-performance related contractual terms. If the Partner has been in breach of contractual terms within the last 6 months, the Supply Chain Manager will move straight to the Exit Process as detailed in stage 7 of the Supply Chain Management Framework. If the Partner has not been in breach within the last 6 months the Supply Chain Manager notifies the Quality & Compliance Team and discussions will take place regarding the implications and actions to be taken with the Partner.

The Quality and Supply Chain Manager's agree the reasons for breach and inform the Head of Group Sub Contracting the reasons for breach and that a breach notice needs to be prepared and issued to the Partner.

The Head of Group Sub Contracting will prepare the breach notice outlining the reason(s) why the contract is in breach, seek the relevant approvals in line with the Legal & Sign off Information Brief and issue the breach notice to the Partner.

The Head of Group Sub Contracting will upload the breach notice to the In-Tend contract database.

The Partner is responsible for submitting a Breach Management Plan ISCMFF -15 within 2 (for SFA) and 5 (for DWP) working days of receipt of the breach notice.

The Head of Group Sub Contracting and Divisional Directors will approve the submitted Breach Management Plan within 4 (for SFA) and 20 (for DWP) working days. The contracts team will issue the approval notice along with a copy of the approved plan.

The Head of Group Sub Contracting will upload the Breach Management Plan ISCMFF -15 to the In-Tend contract database.

In the event that the submitted plan is not approved within 10 (for SFA) and 5 (DWP) working days the Dispute Resolution Process should be followed. If the dispute cannot be resolved the Exit Process should be initiated using stage 7 of the Supply Chain Management Framework.

Once the plan has been agreed the Supply Chain Managers are responsible for reviewing it and ensuring completion of actions within agreed timescales. On completion of the plan, the Supply Chain Manager will notify the Head of Group Sub Contracting that the plan has been completed either satisfactorily or unsatisfactorily within agreed timescales.

If the plan has been completed satisfactorily the Head of Group Sub Contracting will notify the Partner that they are no longer in breach by letter. The letter should be uploaded to the In-Tend contract database by the Head of Group Sub Contracting

If the plan has been completed unsatisfactorily the Exit Process should be initiated using stage 7 of the Supply Chain Management Framework. Any documentation should be uploaded to the In-Tend contract database

Note: A Partner can only be in breach once in any 6 month period before the exit process is invoked.

Breach Management Plan

This plan is to be used at stage 6 of the Supply Chain Management Framework. Any Partner who has been issued a Breach notification letter must use this template to propose the actions they are going to take, outlining the targets they will achieve and the timescales they will meet, to move out of Breach status. The Partner will remain at the RED tolerance level as long as the Breach notification applies. This Improvement Plan must be completed and returned to the Supply Chain Manager within 20 days of receipt of the Breach notice. Once agreed the Improvement Plan must be uploaded to the contracts database.

Partner Name					
Contract Name					
Date Partner Entered Breach					
Date added	Area for improvement	Action or steps to be take	Target to be achieved	By When	By Whom
I confirm that all above actions (have / have not) been completed to agreed targets and timescales.					
Partner signature:				Date:	
Supply chain lead signature				Date:	
If the targets have been achieved and the Partner is able to be removed from Breach, please arrange for letter to be sent to the Partner notifying them that they are out of Breach. If targets have not been achieved follow exit process outlined at stage 7 of the Supply Chain Management Framework. Once all actions are completed the Supply Chain Manager to upload this document onto the contracts database.					



Unannounced Visit Form

The purpose of this checklist is to ensure that provision is being delivered appropriately in line with the contract terms. This form should be completed (as applicable to the provision/programme) by the person responsible for carrying out the monitoring of the subcontract. All fields are mandatory and must be fully completed. Any issues arising should be included in the Unannounced Spot Checks Report which should be passed to the Divisional Director. Significant issues should be followed up immediately. Visits should take approximately 20 - 30 minutes with the tutor/lecturer and 5 minutes with each participant interviewed.

A copy of the completed form should be sent to Contracts Manager immediately on completion of visit, together with any additional notes and action plan.

The following details should be completed prior to the visit (information to be obtained from contract and relevant MIS system). You should take with you a printout of the expected participants from the relevant MIS system.

Provision Type:	Contract:
Partner:	Lecturer/Assessor/Tutor Name:
Date of Visit:	Duration of Visit:
Course/programme being delivered:	Class (college use only):
Delivery Location:	Number of participants expected:
Expected Guided Learning Hours:	Expected course duration (start and end time):

Has the information listed above has been confirmed during this review? YES/NO

Once the review has been completed please record any identified issues below including the action owner and proposed resolution date.

Ref	Issue	Action Taken	Action Owner	Completion Date

I confirm the above issues have been cleared and appropriate action taken

Ixion representative Signature:		Date:
Partner Signature:		Date:

No.	Check	Remarks
By observation:		
1	Review the evidence of participant contact, e.g. registers and log sheets, and ensure that they have been marked during the lesson and signed by the lecturer. If there are any discrepancies between the register and the number of participants in the group this should be reported and the reason ascertained as to why such a discrepancy exists. Ensure the register records adequate details, including: • Start and end times (including break times) • Start and end dates of the course • Participants names (forenames and surnames) • Participants reference numbers where available • Location • Name of lecturer/Assessor/tutor Where provision is work based and spans a period of weeks/months, review evidence of participants input e.g. portfolios and ensure that there is evidence of regular review by assessor. Where provision is work based but spans a period of only days, review available evidence of participants input and determine at what point the work is formally assessed. Is the evidence available at the time of the audit review commensurate with the nature of the provision?	
2	Pass a sheet of paper round the participants and ask them to write and sign their names on it. A copy of the original register should also be taken. The list of participants should be compared to the register/ILP and learning agreement and retained with this report. Any discrepancies should be report. The register should also be reviewed to determine whether the average level of attendance is consistent with attendance on the day of the visit. (If registers are not completed at the time of the visit or the attendance level at the time of the visit is significantly different to the register pattern then this should be reported immediately and appropriate action taken)	
3	Are the characteristics of the participants consistent with the course being provided - particularly look out for any miss-match between the apparent and expected age of participants.	

4	Consider whether the accommodation appears appropriate given the level of activity occurring (are there adequate resources for the provision i.e. tables, chairs or other necessary equipment)	
By enquiry of Partners lecturer/assessor/ tutor present		
5	How does the lecturer/assessor/tutor record late arrival and early leaving on the register?	
6	How does the lecturer/assessor/tutor notify the Region of withdrawals? What date do they use for the withdrawal date? N.B. Confirms understanding of the withdrawal process.	
7	Who controls the premises used for delivery of the provision?	
8	For the member of staff performing the lecturing, assessment or tuition ascertain: Whether they are an employee of the Provider, or are they a member of an agency • Their background and how they came to be working at the delivery (this could indicate links to other organisation such as staffing agencies) • How they are paid (i.e. by which organisation and is this a PAYE payroll arrangement). • Are they self-employed? • To whom at the Provider does the member of staff report?	
ISCMF Unannounced Visit Form: SCMF – 16 Page 3 of 5		

9	Does the lecturer/assessor/tutor have a relationship with other funded providers? (To ascertain if the teaching staff do work for other providers) If so: • Which Organisations? • For what courses? • What level of activity? Do they know if the provision is being classified as subcontracted or delivered direct by the Partner? This could indicate possible duplicated or displaced funding and/or provider is subcontracting.	
10	Ascertain whether the lecturer/assessor/tutor feels that they have sufficient resources to deliver the course. 'Resources' could be suitable accommodation, equipment, time, support from the Region, lecturer/assessor/tutor development, etc.	
11	Are the participants required to pay a fee in relation to this course? If so, how much? (Would this result in the Course being full cost/commercial?)	
12	Where the provision is work based, review how the assessor records the number of GLH to each participant. If assessing participants in the workplace, only the time spent assessing the individual participant is eligible to be counted as GLH for that participant. The time the assessor spends on the employers premises cannot be claimed for all participants.	
By enquiry of participants		
13	Select minimum of 2 participants (Max. 5) and ask the participants (individually) the following: • What time does the session start and finish each day • Which days do you attend • What breaks do you have (tea breaks, lunch) • When did you start the course • When do you expect to finish • What qualification are you working towards (course title) Does this information agree with expectations?	<i>Please complete responses on separate sheet if insufficient space to record all individual responses</i>
14	How did the participants know about the course?	

15	Was it marketed as a [Insert Region] course? Obtain copies of marketing materials and attach	
16	Do the participants realise that they are participants of [insert Region]? Have they met anyone from the [insert Region] during their course? Have they recently, or are they, enrolled at another provider/college?	
17	Do the participants recall receiving any guidance from anyone regarding this course? If so who? Were the participants given the choice of whether to undertake this qualification? Do the participants come from an industry where to have this qualification is a statutory obligation? (if so, this should be investigated as course may not be fundable)	
18	Did the participant (or employer) have to pay a fee to the Partner?	
19	Did the participant receive a copy of the [insert Region] participant charter?	
20	Do the participants realise that they have use of Region's facilities (e.g. library/e-learning resources) and have access to grievance procedures in the event of any dispute arising in relation to their training?	
21	For participants where provision is delivered 1:1, from discussion with participants, determine how often there is contact between the tutor and the participant, how long does this contact last, is the contact delivered in groups or on a 1:1 basis. Ensure this is commensurate with the GLH for the course.	
22	Have the participants provided any feedback to the Partner on the course e.g. surveys, questionnaires or telephone responses?	

23	How are you enjoying the course? Progression; what do you plan to do next? For non-Work Based Participants; Is the course assisting you into or Improvements to your employability prospects	
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SECTION 7

EXIT & END OF CONTRACT REVIEW



Exit & End of Contract Review Process

The purpose of the process is to ensure that all contracts are closed properly. This document sets out the process to be followed when contracts end or need to be exited. There are three possible ways for a contract to end: (1) natural end; (2) break in contract; and (3) termination for breach.

The process for dealing with each scenario is as follows:

(1) Natural end

The In-Tend contract database will issue a reminder to the Contract/ Supply Chain Manager that the contract is ending.

The Head of Group Sub Contracting will create and implement a closure plan in line with the Subcontract Closure Checklist- ISCMF - 18.

The Supply Chain Manager will be responsible for formally closing the contract.

(2) Break contract in line with terms

The Contract Manager will contact the Head of Group Sub Contracting to advise that they would like the contract to end.

Or

The Contract Representative receives a break notice from a third party, who will notify the Head of Group Sub Contracting.

The Contract Manager will liaise with the Divisional Director to plan how volumes will be re-allocated and seek the director approvals and issue the break notice.

The contracts database will be updated by The Head of Group Sub Contracting to record the new end date.

Contracts will create and implement a closure plan in line with the Subcontract Closure Checklist ISCMFF - 18.

The Supply Chain Manager will be responsible for formally closing the contract.

(3) Breach of contract

The Head of Group Sub Contracting identifies that a contract needs to be terminated due to unsatisfactory completion of the Breach Management Process ISCMFP -12.

The Contracts Manager will liaise with the Divisional Director to plan how volumes will be re-allocated.

The Head of Group Sub Contracting will prepare the notice setting out the reason why the contract is being terminated.

The Head of Group Sub Contracting will seek the relevant approvals and issue the termination notice.

The contracts database will be updated by The Head of Group Sub Contracting record the new end date.

Contracts will create and implement a closure plan in line with the Subcontract Closure Checklist ISCMFF 18

The Supply Chain Manager will be responsible for formally closing the contract.

Once the contract has been closed the Supply Chain Manager will pass the Subcontract Closure Checklist ISCMFF -18 to The Head of Group Sub Contracting who will arrange for the end of contract review to be carried out.

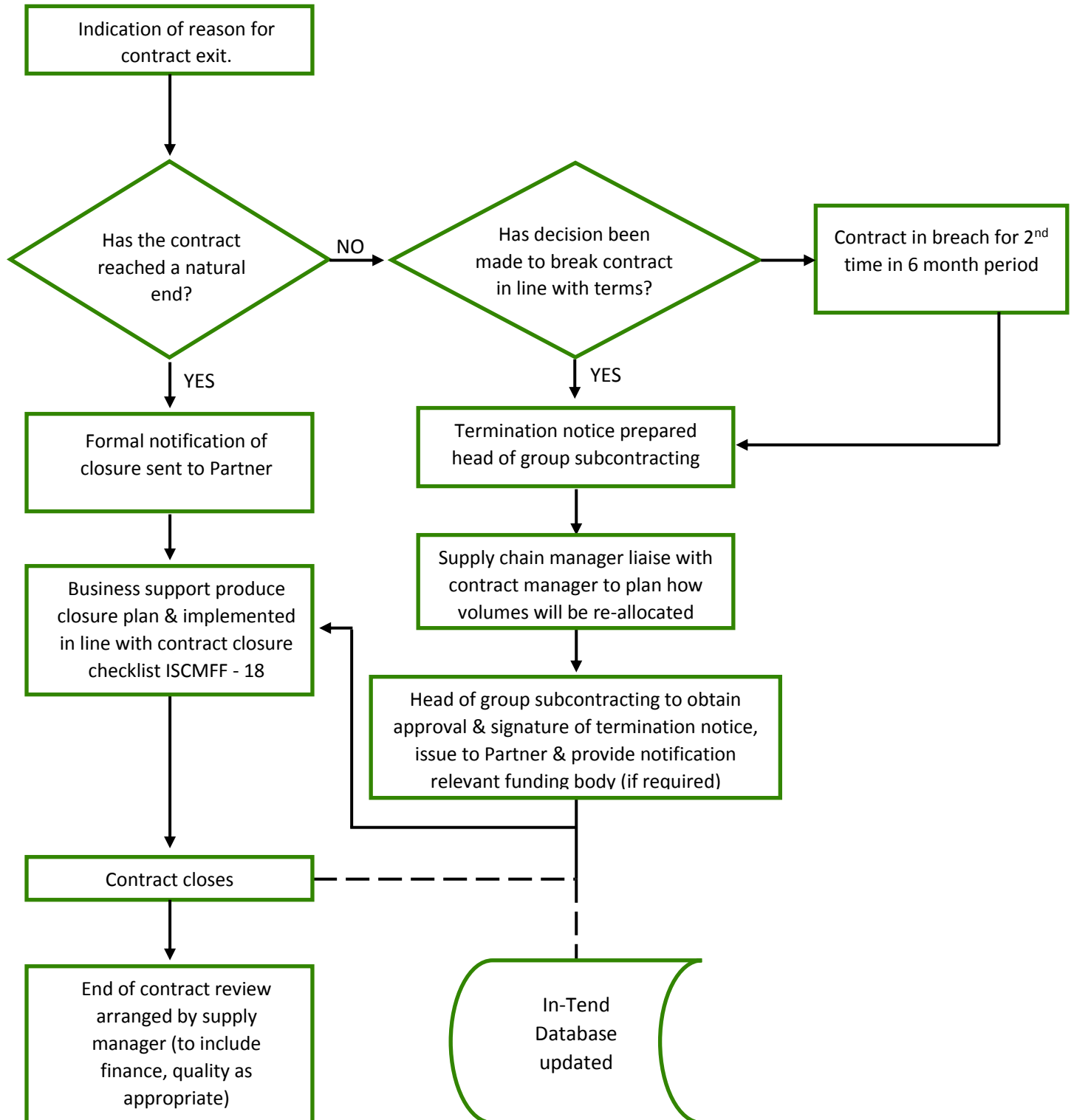


Once a contract has been closed The Head of Group Sub Contracting should arrange an end of contract review to include Finance, Quality and the Supply Chain Lead as appropriate.

Key Contact for queries: Head of Group Sub Contracting

ISCMF Exit & End Of Contract Review Information Brief: ISCMFIB – 12
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Stage 7 – Exit & End of Contract Review



Contract & Exit Review Template

Partner Name	
Provision / Services Delivered	
Contract Commencement Date	
Contract End Date	
Initial / End Contract Value	
Ixion Rep undertaking Contract & Exit Review	
Partner Rep undertaking Contract & Exit Review	
Date of Review	

Performance

Financial Performance	
1) Volumes delivered against final contract profile against targets	Please include summary of contractual profile v actuals
2) Expected Volumes for contract end against targets	
3) Total £ Delivery YTD against final contract maximum contract value	
4) Expected £ Delivery for contract end against targets	
5) Variation to final contract value required due to performance? Discuss capacity on current budgets for funding over delivery if applicable	
Narrative for Financial Performance:	
Success Performance	
1) Progress towards KPIs set for Customer Outcomes a. Success b. Progression c. Sustainability	Please include summary of profile v actuals
2) Expected final contract out turn against success KPIs	
Additional narrative for Success Performance:	

Process

1) Audits – Feedback from External/ Internal Audit & Compliance functions	
2) Claims / Billing – track record for timeliness of Invoices/Billing from Partner, Payments made to Partner, Resolving payment issues during life of contract Outstanding Payment due to Partner / Ixion	
3) Continuous Improvement – Partner process for Quality Assurance (SAP/QIP/CIP), contributions towards Ixion's own QA process	
4) Quality of submission of all programme related administration/ documentation, to include completeness, timely and accuracy	
Additional narrative for Process:	

Customer

1) Review Customer / Learners still on funded programme to include: • Current volume still on Programme • Resources to support completion of commitments • Timescale for completion of commitments	
2) Customer / Learner engagement to include review of : • Sourcing of Customers/ Learners including geographic locations • Delivering additional support /service to customers/learner • Marketing and Referrals – working with key stakeholder and employers	
3) Customer / Learner Retention / Early Leaver Rate	
4) Customer / Learner Health & Safety	
5) Customer / Learner Safeguarding	
6) Customer / Learner Equality & Diversity	
Additional narrative on Customer:	

1) Recruitment of staff for contract	
2) Staff Qualifications / Competencies	
3) Outcomes of Partner Staff observations	
4) Resourcing to contract / sustainability for staff	
Additional narrative on People:	

Partnership with Ixion

1) During the life of the contract: a. What have been the highs and lows of your partnership with Ixion? b. Have you felt informed of wider policy and strategy information from Ixion Holdings Ltd? c. How have you adapted your provision offer during the life of the contract in order to meet the changing needs of customers, stakeholders and commissioners	
2) Where are you able to identify 'Value for Money' during the lifetime of the contract (must be measurable)	
3) Best Practice Identified during the life of the contract	
4) How has this provision Impacted on the wider social objectives/policy intentions of the commissioner/procurer	
5) How has this contract had a positive Impact on external stakeholders, i.e., reducing local unemployment, crime, poverty and improving sustainability in employment	
6) If future funding opportunities are available would you wish to work with Ixion Holdings in the future?, please give explanation for responses	
Additional narrative on Partnership with Ixion:	



I/We agree the information in this review is accurate.

Signed of behalf of Partner..... Date.....

Signed of behalf of Ixion..... Date.....

Subcontract Closure Checklist

In the event of contract closure the following checklist must be used by operations, in collaboration with support service departments, when developing the closure plan. The checklist should be signed off by the Head of Group Sub Contracting once all actions are completed, and retained with the contract on the contracts database. There are three conditions under which a contract will be formally closed:

- Natural end
- Break in line with contractual terms
- Breach of contract

Actions	Completed by	Date
Agree an end date and communicate to Partner		
TUPE implications considered and managed in line with HR processes		
Ensure all termination notices have been agreed, issued and acknowledgement received back		
Notification to funding body of Partner end and consent received back from funding body (if required)		
Retain open communications with Partner until final closure complete		
Implement as appropriate a communications plan to all parties including a draft press statement if appropriate		
Retrieve participant files as appropriate		
Recover all IT and match back to asset register (where appropriate)		
Agree and implement actions to conduct any post contract tracking required to evidence and claim any additional outcomes		
Agree and document final dates for payments to Partner pending all checks and evidence received		
Close all subcontract staff and participant systems accounts		
Agree final audit of all activity either through confirmation of evidence in place for all monies claimed or through a final percentage sample the will identify error rate for potential extrapolation. If higher than standard contract error rate found per funding body this will lead to and increase in the sample for audit		
Archive original participant files /documentation as appropriate in line with funding body document retention requirements		
Manage to completion any open complaints or issues regarding safeguarding and equal opportunities.		
Retention of records declaration completed and returned		
Final claim compiled		
Final claim validated		
Final claim submitted		
Contract closure review template completed by Supply Chain Manager		
Financial reconciliation completed		
Final payments made to Partner upon satisfactory outcome of final documentation audit		
Supply Chain Manager to confirm Head of Group Sub Contracting if Partner is to		



remain on the Ixion Gateway		
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I confirm that all actions have been completed and there are no outstanding payments, queries or issues to resolve.

Signed: (Supply Chain Manager)

Date:

WHEN COMPLETE PASS TO HEAD OF GROUP SUB CONTRACTING FOR END OF CONTRACT REVIEW

I confirm that I am satisfied that all of the above actions have been completed and that the end of contract review has been carried out.

Signed: (Head of Group Sub Contracting)

Date:

Contingency Plan

This Plan should be completed by the appropriate Head of Service, in the event of any of the following circumstances:

- Ixion has taken the decision to withdraw from a subcontract arrangement and learners/participants are still on programme (for example as a result of Breach Management)
- A subcontractor has withdrawn from the arrangement and learners/participants are still on programme
- A subcontractor goes into liquidation or administration and learners/participants are still on programme

Partner Name					
Date of Plan					
Ixion Head of Service / Contract Manager					
Partner Representative Agreeing Plan					
Short narrative summary of circumstances that have led to the completion of this plan					
ACTIONS	TIMESCALES & TARGET DATES	Responsible person(s)	Resources	Progress Update	Review Date
Stakeholder engagement/notifications to funding bodies					
Recipient Partner Engagement					



Communications Plan					
Learner / Participant Transition Plan, include Safeguarding & Health & Safety					
Learner /Participant Files (including e-portfolio), Data Management & Finance					

For SFA Partners; Confirm that the Declaration of Subcontractors has been updated by the Head of Group Subcontracting ☐

I /we agree this information is accurate and agree to complete the actions noted above.

Signed_____ on behalf of Partner

Date:

Signed_____ Ixion Supply Chain /Contract Manager

Date:

Signed_____ Ixion Divisional Director

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ISCMFF Partner Contingency Plan Template: ISCMFF19 November 15

Annex A

Merlin Complaint & Dispute Resolution Process

As one of our Supply Chain Partners, if you wish to raise a specific complaint about Ixion's non-compliance with the Merlin Standard principles within our Supply Chain Management Framework, we would ask you to follow the below process.

- It should initially be established by carefully considering the criteria that makes up the Merlin Standard whether a breach of the Standard has occurred, recognising that it is a standard of behavioral excellence that does not seek to influence commercial decisions.
- The first route for Partners is to raise a complaint is with Ixion direct, following the Ixion complaints procedure (available on the Ixion Gateway Portal). It is generally advisable to seek to address any concerns cordially through dialogue wherever possible, with reference to Merlin Standard criteria as appropriate.
- Ixion has set out its Dispute Resolution Process within all Partners Service Level Agreement; Partners wishing to pursue a formal complaint of breach of the Merlin Standard should follow this process before submitting any application for Mediation.
- There may be times when an acceptable resolution cannot be reached and DWP has put in place the Merlin Mediation Service* for such instances.
<http://www.merlinstandard.co.uk/downloads/merlin-mediation-process-guidance.pdf>
<http://www.merlinstandard.co.uk/merlin-complaint-form.php>

The Independent Case Examiner (ICE) delivers this service at no cost to either party. ICE is completely independent, and separate from the Merlin Standard Assessment and Accreditation Service, ensuring that the Mediation Service is impartial.

The service has been designed to achieve a satisfactory outcome for both parties by agreement; it is - without prejudice to a sub-contractor or Prime's statutory rights - unable to accept complaints or disputes that are or have been the subject of legal action.

It is open to actual and/or prospective supply chain partners wanting to raise a grievance against a DWP contractor (accredited or seeking accreditation against the Merlin Standard, whether as a mandatory contractual requirement or on a voluntary basis) in relation to any alleged breach of the Merlin Standard where the Prime's own dispute handling processes have failed to achieve resolution. DWP Prime contractors are bound both contractually and in order to demonstrate compliance with the Merlin Standard, to participate in mediation and adhere to agreed outcomes.

The outcome of mediation will be automatically notified to the DWP Account Manager and to emqc Ltd, the DWP appointed Merlin Assessment and Accreditation body, and will be taken into account in the ongoing review of contract compliance and Merlin accreditation status.

The outcome of any litigation can also be notified for this purpose.

- Partners also have the opportunity to request that they are interviewed as part of a Prime Contractor's Merlin Assessment, the information provided to the assessors forming part of the range of evidence considered to inform the accreditation outcome; the final decision on the representative sample of Partners to be interviewed rests with the lead assessor.



****Please note the Mediation process is only open to those Sub-Contractors who are part of a DWP supply chain.***

ISCMF Merlin Complaint & Dispute Resolution Process: ISCMFIB – 13

Annex B

Guide to Identifying Best/Excellent Practice and Good Practice in Supply Chain Partners

Often in business we hear about Best Practice and Good Practice, but what does it mean? Where and when should we use it?

Definitions – Practice

- To do or perform habitually or customarily; make a habit of: practices courtesy in social situations.
- To do or perform (something) repeatedly in order to acquire or polish a skill: practice a dance step.
- To give lessons or repeated instructions to; drill: practiced the students in handwriting.
- To carry out in action; observe:

Definition – Good

- ❖ Being positive or desirable in nature; not bad or poor: a good experience;
- ❖ Having the qualities that are desirable or distinguishing in a particular thing
- ❖ Serving the desired purpose or end;
- ❖ Superior to the average

Definition – Best / Excellent

- Surpassing all others in excellence, achievement, or quality; most excellent: the best performer
- Most satisfactory, suitable, or useful; most desirable: the best solution
- Most highly skilled

What is Best Practice?

Best Practice suggests that there is a technique, method, process, activity, incentive or reward that is more effective at delivering a particular outcome than any other.

The idea is that with proper processes, checks, and testing, a desired outcome can be delivered with fewer problems and unforeseen complications.

Best practices can also be defined as the most efficient (least amount of effort) and effective (best results) way of accomplishing a task, based on repeatable procedures that have proven themselves over time for large numbers of people.

Best Practice is considered by some as a business buzzword used to describe the process of developing and following a standard way of doing things that multiple organizations can use for management, policy, and especially software systems. This is often true within the public sector.

What are the benefits of Best Practice?

A best practice strategy is one where the organisation strives to copy those deemed to be proficient in each activity. This can help your organisation to:

- Respond more quickly to changes or innovations in your market space
- Become more competitive
- Increase sales and develop in new markets
- Manage and reduce costs and become more efficient
- Improve the skills of your people
- Use appropriate technology more effectively
- Reduce waste and improve quality

Tools to improve Best Practice

There are several business tools that you can use to achieve management best practice, including:

- Networking
- External benchmarking
- Quality and other external awards
- Strategic planning
- Performance management

Achieving Best Practice

We know that Best Practice means finding – and using – the best ways of working to achieve your organizations objectives. It involves keeping up to date with the ways that successful organisations operate and measuring your ways of working against those used by the market leaders.

Methods of Best Practice include:

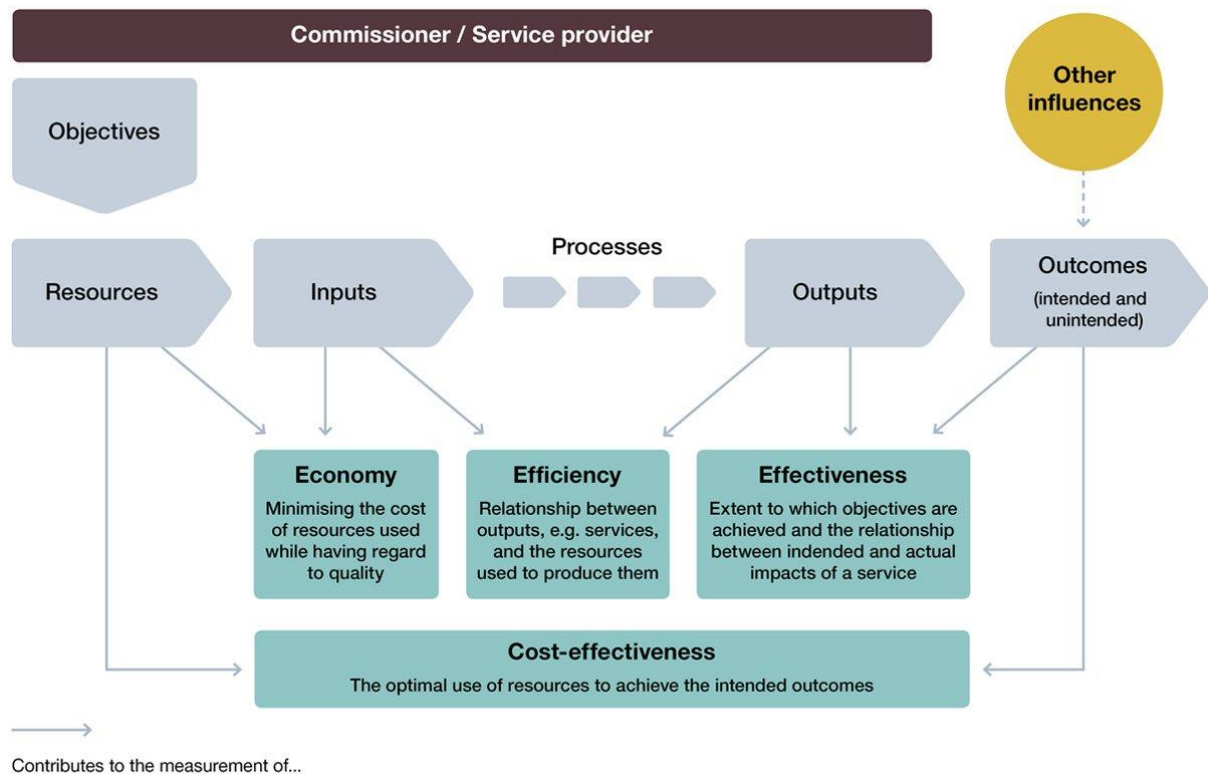
- ❖ Benchmarking – learning from and through the experience of others.
- ❖ Standards – Best practice through achievement of standards.

ISCMF Guide to Identifying Best Practice and Value for Money: ISCMFIB – 14

Guide to Assessing Value for Money in Supply Chain Partners

The National Audit Office (NAO) uses three criteria to assess the value for money of government spending i.e. the optimal use of resources to achieve the intended outcomes:

- ❖ **Economy**: minimising the cost of resources used or required (inputs) – **spending less**;
- ❖ **Efficiency**: the relationship between the output from goods or services and the resources to produce them – **spending well**; and
- ❖ **Effectiveness**: the relationship between the intended and actual results of public spending (outcomes) – **spending wisely**.



The flow diagram shows the relationships between resources, inputs, outputs and outcomes to the 3 E's: economy, efficiency and effectiveness.

1. Resources depend on the objectives of commissioners/service providers.
2. The acquisition of resources as inputs to processes determines economy: minimising the cost of resources used while having regard to quality.
3. The use of inputs in a process to produce outputs determines efficiency: the relationship between outputs, e.g. services, and the resources used to produce them.

4. The extent to which intended and unintended outcomes are achieved by outputs from a process determines effectiveness: the extent to which objectives are achieved and the relationship between intended and actual impacts of a service.
5. Outcomes are subject to other influences besides the action of outputs.

The relationship between resources and outcomes determines cost-effectiveness or value for money: the optimal use of resources to achieve the intended outcomes.

Besides these three 'E's, a fourth 'E' is applied in some places:

Equity: the extent to which services are available to and reach all people that they are intended to – **spending fairly**. Some people may receive differing levels of service for reasons other than differences in their levels of need.

For example:

- ❖ The cost and level of provision of a service is more for one group of people than that for another group of people with similar needs;
- ❖ some people cannot reach, see, hear or use a service;
- ❖ the service may be unsuitable for some people's specific needs;
- ❖ a service is provided in a language that some people do not speak or terms they do not understand; or
- ❖ some people are unaware that the service is available to them

Practical example: value for money

A local authority sets up a new programme to reduce litter dropping. One of its early steps is to agree with stakeholders a set of outcomes for the programme. The effectiveness of the programme is to be judged on the extent to which it reaches its outcomes in a year. In this case, the programme achieves 97% of its outcomes and councillors declare they have 'come within a whisker of winning the battle against litter'. The programme was effective.

However, the programme cost more than expected and overspent its budget by 25 per cent. This was because the programme managers allowed costs to over-run in their drive to meet the outcome. The programme was not economical.

The cost over-run prompts a review of the service. This concludes that, outcome for outcome, it was more expensive than similar programmes in neighbouring areas. The programme was not efficient.

If programme objectives had been exceeded sufficiently, the programme may have been cost-effective despite the overspend. However, programme managers could still be criticised for exceeding the budget.

The most disadvantaged parts of the area were also those with the biggest litter problems and these neighbourhoods improved more, from a lower base, than wealthier places. The programme was equitable.