UNIVERSITY OF YORK

Collaborative Provision

Due diligence *pro forma f*or completion by prospective collaborative partners for the delivery of apprenticeship training

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| ***Introduction***  The University of York (“the University”) aims to ensure that all its collaborative partners are of good repute, and for the delivery of apprenticeship programmes satisfy ESFA and Ofsted requirements. The University therefore requires all prospective collaborative partners to support the delivery of apprenticeship programmes to supply a range of background information.  In accordance with these procedures, we should be grateful if you could provide the information requested below on behalf of your organisation.  This document should not be taken as an indication that the University is prepared to enter into a collaborative agreement with your organisation. Nevertheless, your replies to these due diligence enquiries are an important step in progressing your organisation’s relationship with the University. |

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| ***Completing the pro forma***  The *pro forma* should be completed by the prospective collaborative partner.  Replies may be brief as long as the essential information is supplied.  All boxes will expand as you type  Please embed links to relevant documents and policies on the web wherever possible  Information must be provided in English  The University of York would like to thank you for providing this information. |

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| ***Returning the pro forma***  Please return the completed *pro forma* by email to the Academic Support Office and any supporting documentation to the Academic Support Office, University of York, Heslington, York, YO10 5DD.  Enquiries about this document can be made to the Academic Support Office ([aso@york.ac.uk](mailto:aso@york.ac.uk)). |

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| Contact details |
| Name of organisation*:* |
| Full postal address of organisation*:* |
| Website of organisation*:* |
| Contact details (email address and telephone number) and role of the person who completed the *pro forma:* |
| Contact details (email address and telephone number) of a senior member of the organisation with responsibility for collaborative provision (e.g. pro-vice-chancellor, senior manager, principal, director or similar)*:* |
| Contact details (email address and telephone number) of a member of the organisation’s Quality assurance office, Training and Development Manager, or equivalent (as appropriate): |

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| 1 Governance and status |
| 1.1 Please provide a brief history of the organisation and its development, indicating its position within the local, regional, national and international context (as applicable) |
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| 1.2 Please provide details of the organisation’s legal status (e.g. corporation, company or charitable trust); its charitable status; whether it is public (i.e. wholly or largely government funded) or private; the legal basis and level (undergraduate, taught masters, doctoral) of its degree awarding powers (if applicable); and its capacity in law to contract with other organisations (including any powers to award joint or double degrees, if applicable). Reference should be made to relevant supporting documentation e.g. charter and statutes, or instrument and articles of government, or licence to operate etc. |
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| 1.3 Please provide details of the organisation’s main strategic objectives and/or mission statement. This should include academic/ training and development objectives |
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| 1.4 Please provide details of the organisation’s corporate/university plan |
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| 1.5 Please provide details of the organisation’s organisational structure, including its committee structure (if applicable) and senior management team (its composition and role) |
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| 1.6 Please provide a link to the organisation’s prospectus/ staff training and development prospectus |
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| 2 Finance |
| 2.1 Please provide details of how the organisation is financed, including information about the major sources of income. (Note: where the University is required to enter into a subcontracting arrangement, it will perform financial and organisational checks on the organisation via a Credit Safe report to check the information provided). |
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| 2.2 Please provide the organisation’s audited accounts, and / or any annual corporate reports, for the past three years. |
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| 2.3 Please provide details of your organisation’s Fraud and Financial Misconduct, Bribery and Corruption policy and procedures (or equivalent). |
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| 2.4 Please state whether any of the organisation’s senior officials have been subject to an investigation of Fraud and Financial Misconduct, Bribery and Corruption. If yes, please describe the nature and status of these. |
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| 2.5 Please provide details of the organisation’s Conflict of Interest policy and procedures (or equivalent). |
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| 2.6 Please provide your UK Provider Reference Number (UKPRN) |
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| 2.7 Please provide your Register of Apprenticeship Training Provider (RoATP) status and any other funding arrangements you may have with the ESFA or any other funding bodies |
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| 2.8 Please confirm that extremist organisations are not funded through apprenticeship subcontracting. The University will check the current list of those who are currently subject to financial sanctions for believed involvement in terrorist activity which is produced by HM Treasury and the Office of Financial Sanctions Implementation to satisfy ourselves that the organisation is not linked to companies or persons identified by these two bodies |
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| 3 Experience of, and procedures for, apprenticeship collaboration provision |
| 3.1 Please provide details of the organisation’s previous experience of collaboration provision (including for apprenticeships and including links that have finished) and a list of current collaborative partners (including for apprenticeships). Please note that the University will contact current or former collaborative partners to request further information or obtain a reference: it would be helpful, therefore, if you could provide the contact details for current and former collaborative partners |
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| 3.2 Please provide policies and procedures relating to the establishment and monitoring of collaborative arrangements (including for apprenticeships). |
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| 3.3 In order to monitor and improve the quality of apprenticeship collaborative arrangements and manage risks on the organisation’s capability and capacity on an ongoing basis, the University will hold regular management meetings between the University and the organisation, visit the organisation at short notice and conduct face-to-face interviews with staff and apprentices, and undertake direct observation visits of teaching, learning, assessment and progress. Please confirm agreement with this quality monitoring approach and your access arrangements. |
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| 4 Academic good standing |
| 4.1 Please provide evidence of the academic good-standing of the organisation, making reference to any recent external audits of the organisation |
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| 4.2 Please provide details of the organisation’s strategy for learning and teaching (or equivalent) |
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| 4.3 Please provide a brief summary of the human and material resources which are dedicated to the academic/ training and development objectives of the organisation including details of your capacity and capability to deliver apprenticeship collaborative provision |
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| 4.4 Please provide evidence of staff expertise in relation to the apprenticeship collaborative provision including evidence of previous delivery and results |
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| 5 Protection of staff and apprentices |
| 5.1 Please make reference to and/or provide policies that demonstrate that the organisation is committed to the equal treatment of all staff and apprentices |
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| 5.2 Please make reference to and/or provide policies (e.g. health and safety, professional indemnity insurance, safeguarding and Prevent, equality & diversity, staff recruitment and development) that demonstrate that the organisation is committed to ensuring a safe and inclusive working environment for staff and apprentices |
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| 5.3 Please make reference to and/or provide policies that relate to data protection and intellectual property rights |
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