

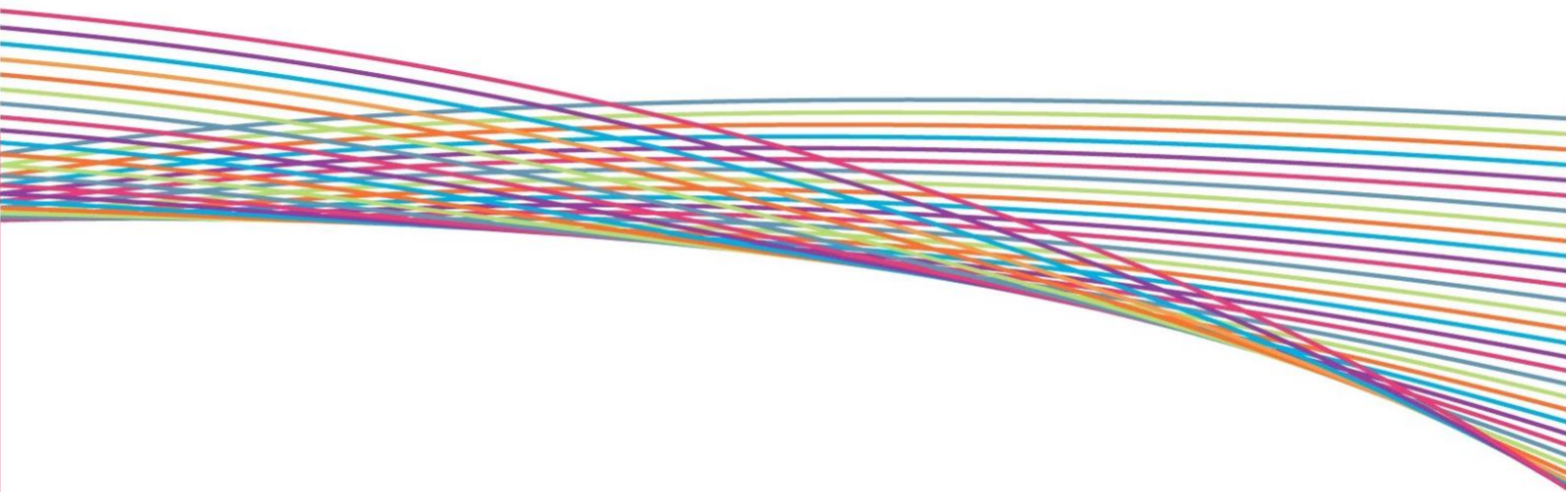


Inspiring business. Strengthening communities.



# Supply Chain Management Framework

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## Contents Page

1. Introduction	Page 3
2. Prevista Approach to Supply Chain Management	Page 3
3. Prevista Departments: Key Contacts for Partners	Page 4
4. Partner Commissioning and Mobilisation Process	Page 5
5. Contracting with Prevista	Page 7
6. Performance Management	Page 11
7. Performance Improvement Support Menu	Page 14
8. Exit Process	Page 15
9. Performance Reporting	Page 16
10. Due Diligence	Page 17
11. Financial Compliance	Page 17
12. Quality Assurance	Page 18
13. Partner Payments and Invoicing Process	Page 20
Appendix	



# 1. Introduction

Prevista is a leading provider expert in developing areas of enterprise, employment and skills as they relate to economic, social and cultural development. Operating since 1995, Prevista has extensive experience at a national, regional and sub regional level in providing services that inspire business and strengthen communities.

Prevista is at the heart of delivering quality services to a diverse customer base on behalf of major regeneration agencies, publicly funded bodies, local borough councils and key stakeholders. We are successful in supporting people, often at the margins of society through our network of partners.

We work with a wide range of Supply Chain Partners who share our 'culture and values' of putting the interests of the Learner and customer at the centre of all we do. Prevista recruits the highest quality staff in our Supply Chain and Programme Development teams to ensure that we meet and exceed the benchmarks set by the Merlin Standard and create an effective and support environment in which to deliver.

## 2. Prevista Approach to Supply Chain Management

### Supplier Diversity

Prevista works with a diverse supply chain across a whole range of government programmes to meet the needs of our clients and funders. These range from small, local niche providers, colleges, large Primes and many varied organisations representing the voluntary and community sector.

There are social and commercial benefits for promoting supplier diversity, as a diverse pool of subcontractors stimulate innovation and are able to provide more cost-effective solutions. This in turn drives social and economic growth. In designing our supply chain, we take into account the scale and capacity of our supply chain members, their ability to deliver the specific outputs, and the added value of specialist partners.

Our Supply Chain is diverse and wholly represents the makeup of our customer base. By diversifying our supplier base, we are enabling these organisations to sustain their businesses, create jobs and boost their local economies. Moreover, beyond complying with regulations, supplier diversity also encourages Prevista to be innovative and exposes us to new perspectives and fresh ideas.

### Prevista Core Principles

When working with delivery partners Prevista always aims to build long term sustainable relationships using our values as a framework. Our approach is underpinned by the following principles:

- We will treat our partners fairly and will embrace them as part of our organisation to enhance our capability in providing a first class service to our customers
- We will demonstrate integrity, providing assurances and mitigate against any known risks
- We will strive to work with the best partners who operate safely and are considerate towards the environment
- We will select the most able partners through evaluation, measurement and review, rewarding accordingly
- We will work collaboratively with our partners to develop and secure best value pricing and service excellence
- We will honour agreements in a culture of openness and honesty ensuring an equitable expression of interest and contracting process
- We will manage our expenditure to give best value to our clients
- We will utilise a transparent, robust and documented procurement process
- We will capacity build partners by providing access to training, events, research and business development

### Merlin: Best Practice in Supply Chain Management

Prevista aims to meet the Merlin Standard principles of supporting organisations develop, recognise and promote sustainable excellence and positive partnership working and continuous improvement across Prevista. The Merlin Standard is built upon four fundamental and integrated principles which include Design, Commitment, Conduct & Review.

### 3. Prevista Departments: Key Contacts for Partners

#### Supply Chain Management Team (SCMT)

##### **Performance Director**

The Performance Director oversees the strategic plan and continuous improvement of the supply chain. This role is responsible for ensuring a high quality service is provided across the network and all performance, financial compliance and required service levels are met. Monitoring the effectiveness of the supply chain and their relationship with Prevista, setting and updating delivery standards and KPIs all fall within their remit. They also support the selection of supply chain partners and procurement activities including contract negotiations and the coordination of implementation and mobilisation activities for partners.

##### **Supply Chain Managers**

Supply Chain partners report directly to the Supply Chain Managers who are responsible for the capacity building and management of delivery partners to ensure all KPIs and delivery standards are met. Support is provided to partners through regular contact and ongoing review of systems and processes. Supply Chain Managers are responsible for setting up partners prior to the start of their delivery and they facilitate best practice sharing events to drive continuous improvement across the business. Supply Chain Managers report to the Performance Director.

#### Business Development Team

##### **Head of Business Development**

To lead internal Supply Chain Groups that help inform current and future delivery. To establish and maintain relationships with Prime and important strategic Providers. To consult key stakeholders such as London Council, Local Authorities and Job Centre Plus.

##### **Business Development Manager**

Responsible for developing strong and innovative Supply Chains to support Prevista's bids and identify and develop new business opportunities. Key Relationship Management duties including identifying new Partners, highlighting successes to inform Case Studies and managing the Prevista Partnership Network newsletters and activities. Business Development Managers report to the Head of Business Development.

#### Quality and Compliance

##### **Head of Quality**

The Head of Quality assists partners to identify and work to improve their own quality of delivery. They support partners to re-align internal process to ensure monitoring of the learner and client journey is effective and complies with current industry requirements. The Head of Quality and Compliance works to improve the learner and client experience on Prevista programmes delivered internally and externally through the supply chain.

##### **Lead Auditor**

The Lead Auditor reports to the Chief Finance Officer. Their role is to ensure that all public funding contractual compliance requirements are met by Prevista and our supply chain partners. This is carried out through the implementation of the Due Diligence and Financial compliance policy, funding guidance and Service Level Agreements. The Lead Auditor will conduct regular audits during the delivery process and at the end of project closure. Through our own external audits from our funders there will also be further audits conducted that may require additional checks in accordance with the documentation retention period which the Lead Auditor helps to compile.

##### **Claims and MI Manager**

The Claims and MI Manager Reports to the Chief Finance Officer. The Claims and MI Manager is responsible for developing claims process for all Prevista funded programmes. Managing the claims team to ensure claims are submitted on time and without errors. The second part of the role is to ensure the business has accurate, relevant and timely management information across all contracts in order to successfully achieve financial and delivery performance targets. Clean data is pulled through the successful day to day management of the PICS system so internal reports are available and funders receive claims information on time. Main aim of the claims team is to be the experts within the business in terms of contractual compliance. They also support quality assurance and control including auditing both internal and external partners.



## **Continuous Improvement Teams**

The Continuous Improvement Teams facilitate and share proven best practice and innovation across our partner network to increase efficiency and build capacity in collaboration with the Supply Chain Management Team.

## **Equality and Diversity Team**

The Equality and Diversity team meet on a quarterly basis to promote E&D practices and support partners to embed best practice into their delivery. The team evaluate arrangements, training for staff and appropriate policies and procedures and ensure insights are shared with our partners.

## **Merlin SAR Team**

The Merlin SAR team is made up of the Prevista Senior Management and Executive team who meet on a monthly basis to assess our progress against the Merlin principles. We set out as part of a self-assessment review and quality improvement plan, actions we can implement to ensure we continue to work with our partners within the philosophy and ethos that underpins the Merlin Standard.

## **4. Partner Commissioning and Mobilisation Process**

Prevista operate in a rigid procurement environment which requires strict threshold requirements to be applied including EU procurement rules. At all times Prevista operates within EU, funder and stakeholder requirements around these thresholds (which vary from funder to funder dependent on source of funding) and applies these from the initial stage of supply chain engagement, procurement and due diligence. This is in line with Prevista Financial Management Handbook. The Partner Commissioning and Mobilisation Process (detailed on page 6) is followed for each of our commissioning rounds. The timetable is intended as a guide and, whilst Prevista does not intend to depart from the timetable, it may do so in certain circumstances.

Prevista actively evaluate the potential Supply Chain to ensure that there is sufficient scope and variety with a mix of public, private and third sector organisations who can deliver the required services and more effectively meet the needs of our customers.

All organisations interested in delivering as part of the Prevista Supply Chain apply to join the Prevista Partner Network. To qualify for the framework, potential providers have to demonstrate: a track record of delivering within the chosen industry; capacity to deliver across the appropriate region(s); and the quality and financial capability to deliver. Prevista post all opportunities on Compete4 but may on occasion directly approach organisations we want to include in our supply chain as a result of research, including discussions with local stakeholders, or because we have worked with an organisation previously.

Organisations are issued with a programme brief describing the type of training or employment support which Prevista would like to purchase and are invited to submit a proposal describing how they would deliver the required support. All proposals are scored and organisations that submitted the highest ranking proposals are offered a contract. Before issuing contracts Prevista will conduct due diligence checks which may include financial modelling, site visits/ observations and an in-depth look at performance data. We may also review an organisation's management style, systems and resources when evaluating applications.

# Partner Commissioning and Mobilisation Process

Stage 1: Tender Alert and Marketing	
1.	Attend Briefing Event. Research target groups - identify local needs, barriers and map spatial delivery requirements (I.e. borough, cluster, sub regional or regional analysis). Strategy – design delivery model (internal and external), geographical reach and funding model
2.	Identify Supply Chain partners through existing PPN directory and contacts through events including briefing event
3.	Research partners with a good track record: to include a variety of niche, innovative and specialist organisations which individually and collaboratively meet the needs of the intended customer
3.	Send communication to partners on the PPN and advertise opportunity on Compete4. Communication sent in Prevista Partner Bulletin
4.	Approach partners identified through research activities. Hold a briefing event for all interested parties
Stage 2: Partner Expressions of Interest	
5.	Issue EOIs.
6.	Tender Process Timetable Issued
Stage 3: Partner Selection	
7.	EOIs returned, scored and selected partners shortlisted by Head of Supply Chain and Head of Business Development
8.	Successful/Unsuccessful Potential Providers notified within 30 days of EOI submission deadline
9.	Qualified Potential Providers invited for interview with Director of Performance, Head of Supply Chain and/or Head of Business Development
10.	Successful/Unsuccessful Potential Providers notified within 30 days of interview
11.	Issue Non-Disclosure Agreement, Quality Assurance and Due Diligence Forms. Quality Assurance and Due Diligence Forms evaluated by Chief Financial Officer and Head of Supply Chain
Stage 4: Tender Submission	
12.	Produce delivery model/customer journey. Tender Development meetings held with partners where appropriate. Complete financial model and bid drafts based on supply chain selection
13.	Issue commercial and delivery profiles once issued by the commissioner. Communicate management fees to potential partners
14.	Issue letter of Intent and confirm acceptance from partner
15.	Submit final bid
Stage 4: Tender Award	
16.	Award notification received from commissioner
17.	Pre Tender negotiations complete
18.	Contract signed with funder
19.	Post contract initiation visits
Stage 5: Mobilisation	
20.	Complete Partner Operational Site Visit Check List Encryption/data security/data sharing and transportation Health and Safety Check/Risk Assessment Safeguarding/DBS/Lone working policies
21.	Issue SLAs Contract walkthrough meetings. Agree financial and delivery profiles (final). Receive signed copies of SLAs from partners
22.	Issue Project Initiations documents, to include Project pro-formas/beneficiary paperwork Eligibility and Evidence requirements/checklist, claims process map Programme Delivery Guidance: Performance management, quality and audit frameworks
23.	Partners mobilisation workshop Induction to Supply Chain Manager and key Prevista personnel Walkthrough of paperwork, systems and processes, quality and contractual compliance
Step 6: Go Live	
24.	Visits and meetings scheduled Weekly catch-up calls Monthly performance meeting Quarterly partner forums and best practice sharing Monitoring visit by Supply Chain Manager subject to RAG rating Frequency Subject to RAG rating compliance and quality sample audit



## 5. Contracting with Prevista

### Prevista Partnership Network (PPN)

The PPN is a network of credible organisations working together to promote sustainable excellence in delivering key services in line with policies, plans and government agenda. In an effort to maximise contracting opportunities and secure competitive advantage, a rigorous process of evaluation and assessment underpin the selection of network members. These suppliers provide details of their equality policy, diversity training plan, quality standards, financial standing and communications plan.

### Expressions of Interests (EOIs)

This sets out the information which is required in order to assess the suitability of Potential Providers in terms of their technical knowledge and experience, capability/capacity, organisational and financial standing to meet the requirement. During the EOI stage, the intention is to arrive at a shortlist of suitably qualified Potential Providers

No information contained within the EOI, or in any communication made between Prevista and any Potential Provider in connection with the EOI, shall be relied upon as constituting a contract, agreement or representation that any contract shall be offered. Prevista may, subject to the appropriate procurement regulations, to change without notice the basis of, or the procedures for, the competitive tendering process or to terminate the process at any time.

### Service Level Agreements (SLAs)

The SLA sets out the contractual basis upon which Prevista is prepared to engage the services of a provider. Prevista is committed to our contracts with our funders and the SLAs issued to partners reflects a number of existing obligations which are binding on Prevista and extends these to our partners. Prevista functions within a publicly funded environment. This means that all services delivered by our partners under the SLA must provide a high standard of legal compliance and be delivered with full transparency. Most importantly, any entitlement to payment under the SLA is wholly conditional upon complete compliance with the evidential requirements stated within the SLA which are in turn intended to reflect the obligations by which Prevista is bound to by the funder.

Prevista recommend that partners obtain legal advice regarding the content of their SLAs given the detailed obligations and requirements contained within the document and the accompanying appendices. Prevista also happy to hold meetings once contracts are issued to partners.

### Quality Assurance and Conduct

Prevista quality assurance is systematic process of checking that our service delivery meets Prevista's standards, processes and policies in order to deliver a high level of customer satisfaction alongside exceeding expected conversion rates to raise performance levels. The process is governed by the application of the continuous improvement cycle once a partner is live. Prevista have a responsibility to ensure all delivery partners have robust processes, policies and systems in place. Initial checks will be made as part of the Due Diligence process however partners must ensure they are reviewed regularly and that all aspects delivery meet regulatory and legislative requirements. Partners must adhere to policies on the following but not limited to areas:

- Health and Safety
- Green/Sustainability
- Data Security including data protection and IT Policy
- Equality and Diversity
- Fraud Prevention
- Whistleblowing
- Anti-Bribery/Corruption
- Safeguarding
- Clients and Stakeholder Feedback
- HMG Baseline Personnel Security Standard
- Lone working/Outreach – including data security and safeguarding considerations
- Ofsted & external audit

European Social Funding (ESF) match funded delivery partners must also comply with ESF programme policy requirements in the following areas:

- Marketing and publicity
- Equality, sustainability and health
- Documentation retention
- European Social Fund audit requirements

## External monitoring

Prevista is monitored by a number of external bodies, these bodies include but are not limited to:

- Ofsted
- Skills Funding Agency (SFA) Greater
- London Authority (GLA) Department for
- Work and Pensions (DWP) European
- Social Funding (ESF)
- Merlin
- Provider Assurance Team (PAT)

These external bodies assess and test how we manage the delivery of our partners through process checks, interviewing delivery partners and customers or site visits. Delivery partners must engage with all external bodies and demonstrate how they manage their programme in line with the funding rules and provider as issued by these bodies. Notice of inspections will be made as soon as Prevista is notified and we will support partner with all aspects of the visits/inspections/audits.

## Data Security Requirements

Prevista set out mandatory requirements relating to data handling, security and information assurance for all of our contracts. Information must be protected, together with systems, equipment and processes which support its use. This information may include data, text, drawings, diagrams, images or sounds in electronic, magnetic, optical or tangible media, together with any Personal Data for which Prevista is the controller for. Potential Providers will be required to demonstrate an ability to provide an appropriate level of security to safeguard Prevista information in compliance with the Prevista Security Policy.

Basic requirements must be followed by partners when managing personal data:

- All client data must be stored away securely and locked away when not supervised
- Data must only be accessible by staff in the organization and recorded by Prevista
- Where staff work from home on an outreach basis delivery partners must put in place arrangements so that clients data is kept securely offsite
- Data must be transported via encrypted media or an encrypted laptop which is password protected
- Paper records must be kept within a locked bag
- No unencrypted media (including USB sticks) are to be used to carry

Any suspected or actual loss of client data should be immediately be reported to the Prevista (Appendix 2).

## Personnel Security Requirements

Prevista requires that a number of checks are made on persons who are to be given access to Prevista premises, systems, information or data. It is the responsibility of partners to ensure the DBS staff vetting procedure is conducted with all delivery staff and are required to provide evidence of this as part of the pre- contract due diligence checks.

## Fraud, Bribery and Corruption Prevention

Effective anti-fraud and control measures are a key element of good administration to protect public funding; subcontractors are expected to have in place systems and processes that seek to prevent fraud and ensure that it will be detected promptly if it does occur. Delivery partners must notify Prevista as soon as they suspect any incidence of fraud, bribery and/or corruption using the Incident Record Form (Appendix 3).

## Diversity and Equality

Diversity and equality is a prominent theme that underpin all of our activities and define the culture of Prevista. We have a 'duty to promote' on equality and Prevista needs to ensure that it actively promotes equality of opportunity for and good relations between, all persons irrespective of their race, gender, gender reassignment, disability, age, sexual orientation or religion/faith/belief. As a result Prevista consider equality of opportunity when selecting our partnerships— there is a real opportunity to make a difference by addressing equality issues professionally in the procurement process.

As a minimum, all successful partners must ensure compliance with equality legislation and satisfy the requirements set out in the Prevista Diversity and Equality Policy, requirements to be delivered within six months of the contract start date. Subcontractors can expect that equality and diversity elements and performance are prominent features in Prevista EOIs and the Key Performance Indicators (KPIs) that they are measured against.



## **Sustainable Development**

Prevista expect all partners to have a sustainable development policy in place before they commence delivery. Prevista use the sustainability development policy evaluation toolkit and resources found on the ESF in England website) and encourage partners to use these tools also. Prevista will measure your progress against bi-annually action plans and your performance against other partners in our network so we can all share good practice.

## **Health**

Prevista works within the London ESF Regional Framework which has health as a cross-cutting theme. Partners contracting with Prevista are responsible for incorporating and promoting Health and Wellbeing within their programme delivery.

## **Customer and Stakeholder Feedback**

Our customers are at the heart of everything we do. Prevista actively sources feedback from all our stakeholders and uses this information to refine the way we carry out our work. As part of our commitment to continuous improvement we encourage our stakeholders to feedback on their experiences with us and our delivery partners, and we have designed clear processes for complaints that must be adhered to when delivering services as part of the Prevista supply chain (see Customer Complaint Process below for Partners and overleaf for Participants).

## **Complaints Handling Procedure - Partners**

Prevista aims to maintain the highest level of service with their Supply Chain Partner Network. In the event that a Partner feels that this service has not been satisfactory, the following 5-stage process will be followed in order to gain a suitable resolution for all parties:

1. Contact you dedicated Supply Chain Performance manager in writing to detail the reasons for the complaint; your SCP Manager will then respond directly to the complainant within 5 working days
2. If the complainant is not satisfied with the outcome of the response and actions to be taken, the complaint should be escalated to the Head of Operations in writing or equivalent senior position; the Head of Operations will acknowledge and respond to the complainant within 5 working days
3. If the complainant feels the complaint has not satisfactorily been resolved at this stage, they will be invited to attend a meeting to discuss a resolution with the Head of Operations or equivalent senior management position.
4. If the meeting does not satisfactorily resolve the complaint, the Head of Operations or equivalent position will escalate the complaint to the Managing Director who will provide a response within 5 working days.
5. If the complainant is not satisfied with the outcome of the recourse from the Managing Director; she/he can take the complaint to the Merlin Mediation Service. The first point email contact details are as follows:  
[CAXTONMERLIN.STANDARDMEDIATION@DWP.GSI.GOV.UK](mailto:CAXTONMERLIN.STANDARDMEDIATION@DWP.GSI.GOV.UK)

Prevista will respect the decision of any third-party mediation service.

## Complaints Procedure - Participants

### Stage 1

Complaints received in writing or in person will be passed onto the delivery partner Team Leader/Centre Manager.

Team Leader/Centre Manager will respond direct to complainant within 5 working days

### Stage 2

If complainant is unhappy with the outcome of Stage 1, they must put their complaint in writing to the Quality Manager (or similar investigatory Position as per the delivery partner process).

Quality Manager (or equivalent) will respond direct to complainant within 5 working days

### Stage 3

If complainant is unhappy with the outcome of Stage 2, they must put their complaint in writing to the Director (or equivalent position of seniority as per the delivery partner process)

Director (or equivalent) will respond direct to complainant within 5 working days

### Stage 3a

Delivery partner must notify Prevista Supply Chain Manager in writing of the complaint at Stage 3 using the Customer Complaint Form (Appendix 4)

### Stage 4

If complainant is unhappy with the outcome of Stage 3, the delivery partner must notify the Prevista Supply Chain Manager in writing by updating the Customer Complaint Form (Appendix 4) sent at Stage 3

Prevista Supply Chain Manager will respond direct to the complainant with a holding letter within 5 working days and again in 30 working days following a full investigation

### Stage 4a

The delivery partner must inform the complainant in writing that their complaint has been escalated to the managing agent Prevista who will respond within 30 days

### Stage 5

If complainant is unhappy with the outcome of Stage 4, they must put their complaint in writing to the Prevista Compliance and Quality Manager

Prevista Compliance and Quality Manager will respond direct to the complainant with a holding letter within 5 working days and again in 30 working days following a full investigation

### Stage 6

If complainant is not satisfied with the outcome of Stage 5, they can contact the Independent complaints body associated with their programme, e.g. ICE. Prevista will respect the decision of any third-party mediation service

## 6. Performance Management

At Prevista we make every attempt to provide all our customers with a professional, personal and friendly service. We aim to provide high quality services and information for all our customers. The Prevista Customer Charter (Appendix1) sets out the service levels we adhere to and the standards which must be demonstrated throughout our supply chain delivery.

The Prevista performance management process uses our customer charter as a benchmark for performance expectations. The performance management process for delivery partners has been developed to set out a transparent process that clearly sets out minimum performance standards, remedial actions and support available to partners on performance support measures.

•The Key Performance Indicators across all Prevista delivery are:

- 
- Getting people onto the programme
- Engaging, activating and moving Learners forward
- Completing Learners and/or securing employment
- In-work progression or sustainability
- Meeting all CQA requirements

•The Performance Drivers assessed by Prevista are:

- 
- Adequate resourcing and infrastructure
- Effective Leadership and Management
- Appropriate staff skills set and level of expertise
- Relationships with key stakeholder's e.g. local business, JCP, schools
- Ethos, culture and performance focus
- Safeguarding Measure

### Performance KPIs

Contract profiles are agreed with partners prior to the contract commencing. The contract profiles are mapped out in partner SLAs and are discussed during implementation and the first performance meeting with the Prevista Supply Chain Manager. Delivery partners who meet their profiles and KPIs are awarded Green standard. Delivery partners who are underperforming will be given Amber or Red status and will progress on to a formal Performance Improvement Plan process with increased support from the Prevista Supply Chain Team.

### Performance Improvement Plans (PIP) to address underperformance

Delivery Partners who are significantly underperforming and have a Red or Amber status will move onto a PIP process which is a formal notification of contract breach based on performance and can be applied to most areas of delivery including compliance and quality. It aims to support performance improvement where possible, instill a sense of urgency but fundamentally it acts as the first stage of the exit process.

PIPs are a plan of action created by the partner to address failings in their delivery and are monitored and reviewed regularly by the Supply Chain Management Team. Supply Chain Managers will increase interventions with the delivery partner including performance scrutiny through weekly calls/visits/reporting and tailored support measures, such as observations and coaching, to achieve uplift in performance. Failure to meet the agreed actions of the PIP can lead to termination. PIPs can be applied at any stage of delivery; serious contract breaches especially failings in audit, compliance and/or OFSTED can result in immediate suspension or termination of delivery.

### PIP Process

The formal PIP process will become applicable after the delivery partner's contract has gone live and will automatically begin after the first quarter (3 months) of delivery if the performance status is Amber or Red. A letter will be issued to the partner detailing the minimum performance levels required and the timelines in which to achieve them. The letter will also outline the consequences if the desired performance levels are not met within the specified time-scales. The partner will be asked to complete a Performance Improvement Action Plan with minimum activities to be implemented or introduced during the duration of the PIP process. This Performance Improvement Action Plan must be agreed and signed off by a Prevista Supply Chain Manager.

If the delivery partner achieves all the minimum performance levels within the desired timeframes they will exit the PIP process. Their status will be reassessed based on their current performance levels over the last 3 months. If performance is tracking at Red or Amber status 1 month after exiting the PIP, the delivery partner will re-enter the PIP process. A partner can only enter the PIP process twice per contract which includes contract variations and additional delivery. Failure to meet the minimum performance levels will result in the next stage of the process being implemented. The final stage of the formal PIP process is contract termination and commencement of the exit process.

### **Contingency Planning**

Whilst Prevista makes continuous efforts to support their Partners in delivering their contracts, it is recognised that in some instances a termination of contract will be unavoidable. In such instances, Prevista will prioritise the clients affected in order to minimise the impact on their educational or vocational programme. Partners will be risk assessed in advance to ascertain the best courses of action in the event of such an occurrence. This will include an examination of client demographics inclusive of:

- Client volumes
- Client locations
- Client group additional support needs
- Educational and vocation programmes being undertaken
- Programme durations and progress

Options for ensuring an effective continuation of programme delivery will include but not be limited to:

- Taking the programme delivery in-house
- Offering the continuation of programme delivery to an existing Partner with the structure to deliver the same programme effectively

Sourcing a new programme provider with a successful track record in that field and facilitating the transition to their delivery programme

## Formal PIP Process - KPIs, Actions and Timeframes

RAG	% against profile	Overdue learners/ action plan/timeliness / Drop out	Quality/ Contractual compliance	Management	Action	Timeframe
<b>Red</b>	Less than 70% in any one Key area. Starts Completions/ Achievements Progressions Conversions	Regular (3 months consecutively) learners overdue activities/ completions. Drop out/early leavers more than 15%.	Red internal/ external reports Customer com- plaints Security breach H&S legal breach Equal opps breach Safeguarding Breach	Poor communication. Poor response for re- quest for information. Lack of senior management ownership. More than 10% error rate.	PIP required Formal notification of contract termination due to breach. Weekly monitoring. Contract reduction. Financial penalties applied. Termination.	1-10 wks Months PIP. Termination as per contract.
<b>Amber</b>	Less than 80% in any one Key area. Starts Completions/ Achievements Progressions Conversions	Less than 10%	Amber internal/ external reports	Inconsistent/delayed communications. More than 5% error rate.	PIP Warning letter as per contract. Weekly monitoring. Contract reduction. Financial penalties applied.	1-3 months PIP.
<b>Green</b>	More than 90% in any one key area. Starts Completions/ Achievements Progressions Conversions	Less than 5%	Green internal/ external reports	Good communication. Less than 5% error rate.	Monthly monitoring Good practice example Contract extension	Ongoing – monthly monitoring



## 7. Performance Improvement Support Menu

Formal support measures can include but not limited to:

- Weekly forecast, monthly report and quarter presentation templates and reporting from partners;
- Scheduled weekly calls with red partners;
- Weekly caseload review on each Learner/ Customer on programme;
- Face to face monthly performance reviews with partners;
- Formal PIP reviews with delivery partner senior management;
- Management Information and System Reports;
- Monitoring visits and assessments;
- Performance Improvement Plan review and re-profiling;
- Compliance and Quality Assurance visits: observations, audits, sample checks;
- Tele kits, share screens and refresher training;
- Partner Forums and Best Practice Sessions;
- Support sessions with Prevista SMT and other areas of the business;
- Shadowing and mentoring opportunities with Prevista staff;
- Business Educator sessions;
- Partner Bulletins and newsletters;
- Training session and sharing materials e.g. YAPP, Safeguarding, Equality and Diversity.

Informal support measures can include but not limited to:

- Catch-up calls and emails
- Informal visits
- Comparisons charts and league tables
- Partner buddying
- Promoting referral streams across the supply chain
- Vacancy sharing
- Other form of support include:
- Tender alerts and invites to deliver on other Prevista programmes
- SFA Register support
- Negotiated payment instalments and upfront payments
- Support with Matrix accreditation
- Support with IIP
- Support with Green Mark
- Online forum

### **Performance Meetings, Observations, Monitoring Visits and Forums**

Partner review meetings, monitoring visits and observations are always focused on performance improvement. Although the SCMs conducting the observations will be reviewing the delivery partners minimum standards in accordance with the contract and should raise anything during the feedback which is significantly in breach of these, they are not exercises to just to check minimum standards.

Review meetings, monitoring visits and observations are the formal methods of quality assuring delivery to assist partners to identify areas for development and best practice, and to instigate performance improvement. The expectation is for SCMs to go far beyond the minimum standards check that will be conducted by the Prevista Compliance team, and be very much focused on scrutinizing the performance drivers from a performance improvement perspective.

Performance reviews and monthly reporting are used as a method of quality assurance and performance improvement across the supply chain. They provide a platform to better understand delivery, identify areas of strength as well as improvement, and to recognise development trends. In conjunction with MI and PICs data, SCMs use performance reviews to track cohorts of Learners and customers through their journey on the programme, interrogate partner forecasts and establish a clear picture of partner delivery based on the delivery model and resource updates.

Experiencing the learner journey at first hand through observations is crucial in quality assuring the service provided to learners to ensure that they are able to meet and exceed performance standards. Through observations, the delivery partner can benefit from a third party perspective in order to improve processes and to recognise their own strengths. It allows an opportunity for Prevista to feedback on the efficiency of provider activities, and of the service that the learner receives. Alongside this, it can give delivery partners the opportunity to review their own internal observation/quality assurance strategy.

Facilitating partner forums and providing effective feedback/follow up allows Prevista to better understand and improve delivery, but also improve approaches to quality assurance and performance management across the partner network. It can be a chance, where there are not already effective measures in place, to demonstrate techniques which delivery partners can develop and integrate into their performance and quality improvement plans.

## 8. Exit Process

### Exit Process

The Exit Process is implemented if notice is served to Prevista or the partner, or in cases where the contract is approaching expiry. In both cases, Prevista will support the partner through the exit process.



## 9. Performance Reporting

Subject to Partner Performance Prevista May:

Frequency	Action	Timing
Weekly	<b>Weekly Forecasts</b> - To track performance and identify underperformance early	Sent by partners every Friday by 12pm
	<b>Weekly Calls</b> - Regular contact to support and address underperformance	Booked in every week with <i>Red/Amber partners</i>
	<b>Weekly Error Reports</b> - To address errors in month and maximize delivery	Issued by claims as identified during internal validation
Monthly	<b>Performance Reviews</b> - Discussions on performance enhancing activities and progress against KPIs	Monthly with partners: Onsite, offsite of tele kit. 1 within 2 weeks of MI release
	<b>Invoicing Instructions</b> - Detail of payments owed	Issued to partners by Finance 5 working days after payment is received from the funder
	<b>Partner Monthly Performance Report</b> - To be completed by partner to inform funder of supply chain activities. Includes good news stories and PIPs	Completed by partner and submitted to Supply Chain Manager subject to agreed date.
	<b>League Table</b> - Detail of comparative performance to encourage best practice sharing	Sent by Supply Chain Manager 2 days following the issue of MI
	<b>Quality and Compliance Action Plans</b> - To update quality and audit action plans	To be update reviewed in performance meeting with Supply Chain Manager and submitted as and when requested by Quality
	<b>Management Information packs</b> - Performance and customer detail, equality and diversity data to highlight good performance and areas for development including error report	MI packs issued to partners subject to individual contracts. (For more details please refer to programme handbook.
Quarterly	<b>Partner Monitoring Visits</b> -To identify areas for development and best practice, and to instigate performance improvement	Carried out by Supply Chain Manager every quarter for every partner at their premises/delivery site
	<b>Partner Forums</b> -To discuss innovative ideas and best practice	Held at Prevista or partner premises to discuss best practice sharing and contract performance across the partner network
Annually	<b>Partner Questionnaires</b> -to capture partner feedback as part of Prevista's commitment to continuous improvement	Issued by the supply chain team every 3rd quarter of the year
	<b>Self-Assessment Review</b> - To assess progress made and set benchmarks for the coming year	To be completed every year in quarter 4

## 10. Due Diligence

Our due diligence process forms part of our pre-contract and live checks on partners to ensure that they have relevant processes, policies, resources, leadership and are abiding by all legislative requirements as detailed in their contracts.

The first stage is Prevista issues a detailed questionnaire that must be completed by all supply chain partners prior to going live on a Prevista contract. On receipt of the completed questionnaire and associated documents being submitted a site visit is arranged by the Lead Auditor and / or the Quality Manager. During the site visit the Q&CO verifies the physical evidence as previously stated and a check will also be made regarding health and safety, disability access, equal op- opportunities and staff qualifications. If there are any outstanding matters discovered that would prevent delivery starting during the onsite visit an action report is produced. The partner has one month to evidence that the matter is re- solved. Significant actions would prevent the partner becoming a delivery partner.

On a quarterly basis the Lead Auditor will review the main due diligence requirements - e.g.: insurance, health and safety, policy reviews, CRB, safeguarding. Where there is a requirement for an annual check or policies have expired, partners will be asked to submit required evidence and a further on site visit will be conducted. If at any time the partner fails a significant areas of the due diligence, then delivery will be suspended in line with the Prevista Service Level Agreement.

## 11. Financial Compliance

Prevista has a duty to ensure that public funding is only utilised and claimed for the purpose defined by the funding body. The Prevista Audit Team will complete as a minimum, a quarterly cycle of financial compliance audits with partners and on internal delivery teams.

Partners will be notified of the date of the audit and the sample size within 14 days of the audit taking place by letter. At the point of notification all payments to the partner will be suspended until the conclusion of the audit. The audit will check the evidence provided against claimable events that have been reported to Prevista and for which the delivery partner/internal team are registering as eligible for a payment. The Audit Team will check each event within the sample against the funder and any further Prevista defined eligibility criteria.

All absolute funding errors will require adjustments to the Prevista funder reporting return on agreed as final. Prevista applies a 5% tolerance for financial errors for all claimable events submitted. Where the error rate is below 5% a satisfactory grade will be given. If during the course of the audit an error rate of above 5% the following actions will be undertaken:

- An initial unsatisfactory grade will be given
- A report will be issued that calculates the monetary value of the errors identified within the sample and an applied value of extrapolation across the total funding received to date
- Confirmation that all current payments will be suspended until the financial outcome report is produced
- A timeframe of no more than 10 working days will be given to review documentation that is held to support claims made. This may require the partner to undertake a 100% check on claimable events
- A date agreed for Prevista to arrange to validate the results of the review undertaken within a further 14 days
- The re-audit will confirm the final outcome of the Financial Compliance Audit within 10 working days.
- Absolute errors will be adjusted on the Prevista funder reporting return and the monetary value will be deducted from the next funding claim

The Finance Director will make the final decision in regards to financial audit compliance errors. If at any time the partner has an error rate of above 5% or there are serious errors, then delivery will be suspended in line with the Prevista Service Level Agreement.

The Financial Audit Compliance report template is provided by the Finance Team for each contract in order for errors to be recorded and calculated.

## 12. Quality Assurance

Prevista quality assurance is systematic process of checking that our service delivery meets Prevista's standards, processes and policies in order to deliver a high level of customer satisfaction alongside exceeding expected conversion rates to raise performance levels. The process is governed by the application of the continuous improvement cycle.

### Continuous Improvement Cycle Process

- Phase 1 – Monitor Effectiveness
- Phase 2 – Analysis of monitoring reports
- Phase 3 – Scoring Strategy
- Phase 4 – Summary of findings
- Phase 5 – Developing Performance Improvement Plans
- Phase 6 – Collating results

### Phase 5 – Developing Performance Improvement Plan

The standard Performance Improvement Plan will be used for all Prevista delivery partners, internal and external. The action will be allocated to a named individual within the organisation and not a type of employee or provider. The Performance Improvement Plan will be continuously updated and a summary report will be drafted by the 5th day following the monitoring visit with the revised Performance Improvement Plan attached.

The Performance Improvement Plan will be a continuous document with actions closed out moved into the archive section. Quality Performance Monitoring Reports and Performance Improvement Plans will be issued electronically to all responsible Managers by the Quality & Compliance Team who will take responsibility to disseminate these to the respective delivery partner monitored.

The Quality & Compliance team assists in effective implementation of Performance Improvement Plans by means of both remote monitoring and site visits.

The Performance Improvement Plan will be monitored by the Quality & Compliance Team to ensure timely completion of agreed actions.

### Phase 6 –Collating Results

To allow for comparative analysis, all quality and compliance results will be sent to the Chief Finance Officer who will collate the results into a single table of results. The Chief Finance Officer will act as a moderator on results; should risk rating decisions by the Lead Auditor be felt to be either too lenient or too harsh upon the Partner Organisation or Prevista delivery site. The Chief Finance Officer reserves the right to moderate the result appropriately, based on the information submitted. The Chief Finance Officer can also ask to see the file separately should there be an area of concern identified within the sample report.



Quality Assurance Score outcome	Description	Action Plan required?	Will an extended sample be required?	Who will be informed?	Action required
Satisfactory Score: 1	The majority of files are at Low risk with no files identified as High risk.	All file samples will require an Action Plan	Sample does not need to be extended; however Performance Improvement Report must include an Action Plan	Head of Quality & Compliance, Quality Manager	Staff may benefit from refresher training through CI Officer/Head of CI though this is not compulsory
Unsatisfactory Score: 2	The majority of files are at Low/Medium risk. It is expected that any files identified as High risk are in the process of being managed by the Partner/ Prevista Delivery site	Action Plan must detail clearly what actions are to be undertaken and by whom, with clear achievable timescales	Sample should be increased according to severity of the problems identified	Director of Quality, Head of Quality & Compliance, Quality Manager	Refresher training should take place for staff where areas for improvement are identified; coordinated through Head of Quality & Compliance/Senior Quality & Compliance Officer. Quality Manager to review at Performance Meeting with Partner
Funding at risk Score: 3	The majority of files are at Medium/High risk. Clear lack of controls or awareness of the risk presented; action required	Action Plan must detail clearly what actions are to be undertaken and by whom, with clear achievable timescales	100% sampling will be undertaken to provide the sampler with sufficient assurance that the issues identified can be checked sufficiently; additional support may be required to check the sample	Operations Manager, CI Officer, Head of CI, Director	In addition to the training above, the Senior Quality & Compliance Officer will visit the site and perform a robust 100% file sample check. Include actions on Performance Improvement Plan which will be shared with the Head of Quality & and the Partner/Delivery site. Where there are serious concerns, delivery may be suspended in line with the Service Level Agreement.

## 13. Partner Payments and Invoicing Process

### Management and IAF Fees

Prevista will, for all funded provision, pay the full value allocated by the funding body, less the agreed management fee. These payments are made in line with negotiated Service Level Agreements (SLA) at post tender stage. In designing our management fees, we align our processes to the Merlin Assessment Standard and offer clear and transparent unit rates pre-tender as part of the tender submission. We collaborate and offer all of our Supply Chain partners fair and open negotiations to discuss and agree unit prices and volumes before tender submission.

Prevista provide appropriate resource and time to support new Supply Chain Partners including a dedicated Supply Chain Manager who provides them with tailored levels of support and capacity building opportunities. In addition, we provide tailored services through an Information Administration Fee (IAF) which is charged annually subject to SLA. This allows specific use of MI databases and specific tailored reports which Supply Chain Partners can use to drive performance.

Please refer to the Prevista Management Fee policy for a more detail outline of what our fees cover.

### Instruction to Invoice

Claimable events must be submitted to your Supply Chain Manager by the submission deadline to ensure data upload before claim window closes. The Claims team will make an initial check and reject any paperwork that is not compliant. This delivery will not be upload and will be returned to the partner as errors.

The instruction to invoice comes directly from the Finance team who present an invoice direct to delivery partners so they can check and approve before monies are transferred. Each invoice details the amount owing to the partner based on the delivery that has been passed, verified and paid by the funder. Delivery that is rejected by the funder will be returned back to the partner as errors.

Partners must wait to receive an instruction to invoice before submitting an invoice for payment and must only invoice for the amount detailed in the invoice. The benefits of this method are partners are paid accurately and on time, payments are regular and Prevista take ownership of the invoicing administrative process.

If a partner believes there is a discrepancy with what they believe they have delivered and the amount they have been instructed to invoice for, they should reconcile their data against the MI in the first instance, paying particular attention to the error report. If after reconciliation there still appears to be an error prior to sign off, then partners should forward the exact learner/customer names and associated outputs to their Supply Chain Manager who will investigate. If an error is found, the Finance team will amend and re-issue the invoice for approval and payment.

Instances where an error has been spotted after an invoice has been signed off and/or paid a credit note will be raised by the Finance team and will appear on the invoice for the following period.

### Financial Audits

Our funders conduct a sample or in some cases a 100% paperwork check either within the relevant claim period or at a later stage. If errors are found, payments will be suspended until the errors are rectified or once a full investigation has been carried out. As Prevista pay partners once payment is received from the funder, any suspension in payments effect the supply chain as a whole. Prevista will always notify partners in the rare cases when this occurs, and issue regular progress updates as detailed by the funder. In extreme cases where errors cannot be resolved extrapolations will apply whereby the funder applies a blanket error rate across all delivery and recovers funds. Prevista hold refresher sessions to help eliminate paperwork errors and we encourage our partners to enforce audit and quality checks internally before submission to reduce the risk of rejection and financial claw back from the funder.

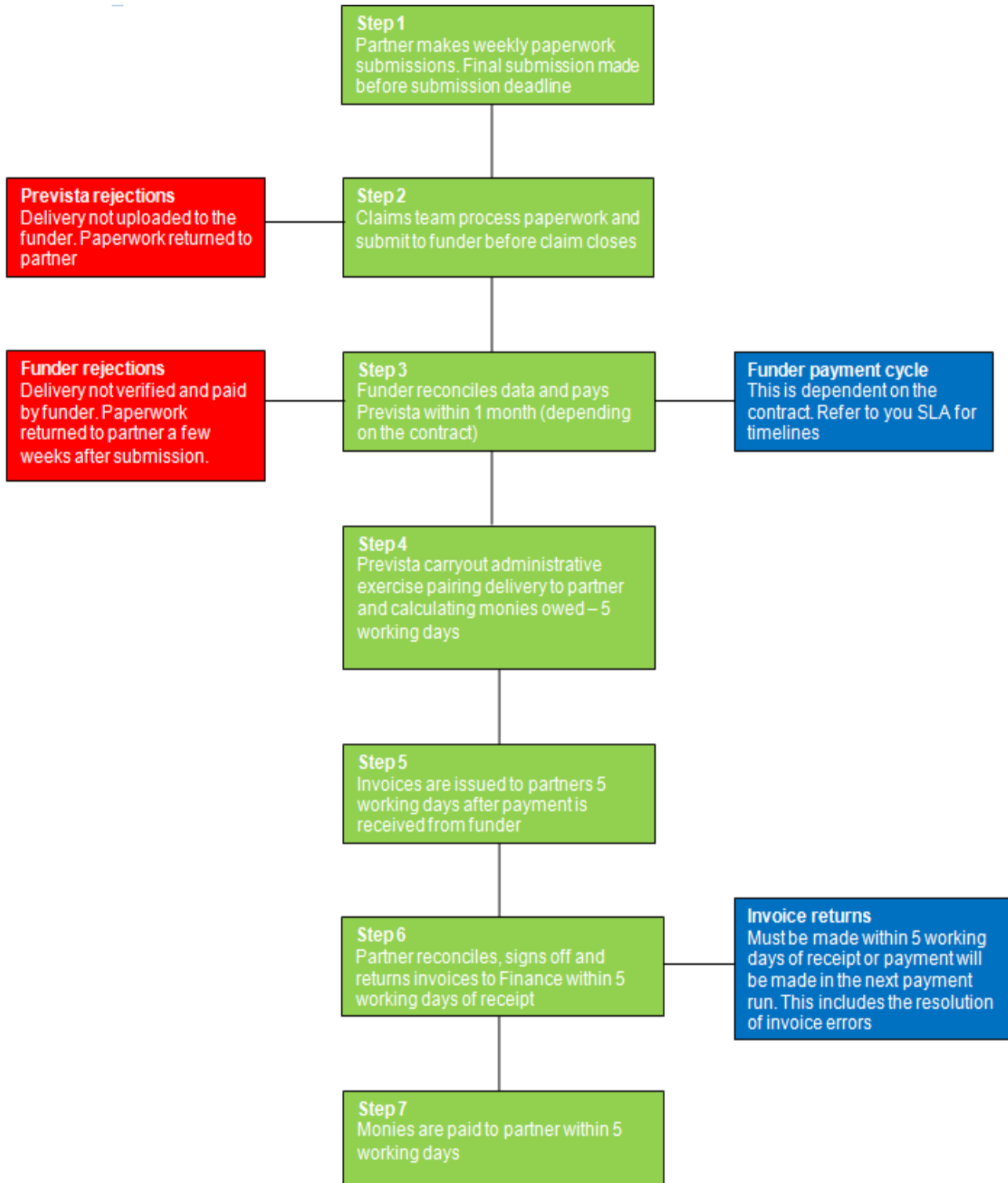
Prevista invokes an annual audit cycle, which could put payments to our Supply Chain Partners temporarily on hold or lead to adjustment of monies due to Partners. The timing of the cycle is communicated in advance via email and also 1:1 meetings with Supply Chain Partners in advance. In the event that Prevista uncovers numerous compliance failings through our internal audits or paperwork checks by the Claims team, payments may be suspended and a full investigation including a 100% audit is carried out by our Lead Auditor. The process for this will be mapped out in a formal letter and a full report issued on completion of the audit. Adjustments may be made to specific payments where evidence of eligibility, participation or achievement cannot be validated by Prevista. Any amendments will be based on guidance provided by the current funding body rules and our negotiated SLAs.

## Financial penalties

When performance falls below 50% of the agreed delivery profile, Prevista reserves the right to suspend payments until such time as actual performance is increased to meet profiled outputs. In instances where a partner has a large number of Learners and/or customer who have not completed or progressed through the programme, these starts may be stripped and financial claw back will apply. Financial penalties may also be applied to overdue completions. The application of penalties are outlined in partner SLAs.

## Payment Cycle

Most contracts work on a monthly payment cycle, but this is not always the case. The steps from claim closure remain the same for each contract and are detailed below:





Inspiring business. Strengthening communities.

### Customer Charter

At prevista we make every attempt to provide you with a professional personal and friendly service. We aim to provide high quality services and information for all our customers. This Charter sets out the standards we are working towards.

#### Efficient & Professional Service

- You will be treated politely and courteously
- Our reception and meeting room areas are clean, tidy and safe
- When you visit Prevista offices you will be seen by a receptionist within five minutes of arriving
- We will answer telephone calls within five rings
- When calling us by telephone our employees will give you their name and the name of the service or place you are calling
- From your initial contact we will make every effort to ensure that you are contacted within two working days
- When seeing you in person we will be on time for pre-arranged appointments and let you know beforehand if we need to cancel a pre-arranged appointment
- Our staff are fully trained to give you the help and advice you need
- You will be given details of who is dealing with your enquiry should you need to speak to them
- Prevista will not share customer information with other organisations that are not related to the services you are receiving.
- We record complaints, comments and compliments and use them to review and improve our services
- We respond to complaints within five working days or, where this is not possible, within 20 working days

#### Information

- We will produce information about Prevista and our services that is accurate, useful, and up to date and in a format that meets your needs
- Information on Prevista services will be on display in our reception area and on our website
- We will inform you, at least once a year, through our website at [www.prevista.co.uk](http://www.prevista.co.uk) how well we are meeting the aims set out in our customer charter
- We will review the customer charter every year

#### How you can help us to help you

- Treat our employees politely
- Give us all the appropriate information so that we can deal with your enquiry quickly and effectively
- Let us know beforehand if you need to cancel or rearrange a pre-arranged appointment
- Let us know if you need an interpreter or language signer
- Tell us immediately if you are unhappy with the service you have received
- Tell us if you are pleased with the service you have received so that we can encourage good practice across Prevista.

#### Partnership Provision

- Prevista works in association with quality and respected partners
- Our partners can provide services direct to you on our behalf
- We ensure all our partners share our same values of our customer charter

If you wish to provide feedback whether it is a compliment or a complaint please do so by email ([enquiries@prevista.co.uk](mailto:enquiries@prevista.co.uk)) or phone (020 7609 4198) asking for the Quality Manager.



**Safeguarding Incident Record**

Please use this form to record incidents or concerns to Prevista staff. It is important that we maintain records of incidents to staff to pass to local safeguarding agencies or the Police. These records will also be used to produce an annual report on Safeguarding for Prevista.

**Name of staff member and/or Client, Learner. Full contact details if possible.****Concern or incident****Date, time and location****Action taken****Follow up from Head of Department & Safeguarding Officer****Name (print):****Signature:****Date:**

Please return to the Prevista Designated Safeguarding Officer for review



### Data Security Breach

Please use this form to record any suspected or actual loss of client data. It is important that we report all breaches and maintain records of breaches to ensure the safety of our clients.

<b>Name of staff member and Organisation. Full contact details</b>
<b>Details of the types of documentation that has been lost, without including any personal data</b>
<b>Details of the content of any documentation, particularly with reference to the inclusion of any potentially sensitive data.</b>
<b>A list of participants affected for each document type, by beneficiary UPIN only</b>
<b>Confirmation of any other information which could be considered as a potential data security breaches that you are aware of</b>
<b>Details of the incident and how the data breach occurred</b>
<b>An update on what is now being done to mitigate the situation</b>

**Name (print):**

**Signature:**

**Date:**

Please return to the Prevista Supply Chain Manager for review

### Customer Complaint Form

Please use this form to record customer complaints at Stage 3 and 4 of the Complaints Process.

<b>Name of Customer and contact number/ email address</b>
<b>Name of Organisation and Programme complaint refers to</b>
<b>Details of the complaint (please attach all communication from the complainant)</b>
<b>Action taken by delivery partner at Steps 1 – 3 and outcome of actions taken (please attach all communication you have sent to the complainant)</b>
<b>Have any other agencies been contacted or informed of the complaint at this stage (please provide names, contact details and attach all communications exchanged)</b>
<b>STAGE 4 UPDATE</b>  <b>If the complaint has escalated to Stage 4, please provide a summary of what has occurred (attach all communications exchanged with complainant and any third parties)</b>

**Name (print):**

**Signature:**

**Date:**

Please return to the Prevista Facilities Manager for review

Please return to the Prevista Supply Chain Manager for review