# Due Diligence Disclosure Form – Medium and Large Grants

For compliance and value for money purposes, the West of England Combined Authority undertakes a rigorous due diligence process that is reasonable and proportionate to the value of funding awarded. Funding can only be provided to financially sound and compliant organisations.

## **Organisation Details**

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| --- | --- | --- | --- |
| Provider Name | ​​ | | |
| Type of Organisation  (If Other please specify) |  | **Other:** |  |
| Indicate your Trading Status | ​​ | **Please provide your Company registration, Charity, or Entity registration** |  |
| Full Postal Address |  | | |
| Postcode |  | | |
| UKPRN Number (relevant to college or ITP only) | **1\*\*\*\*\*\*\*** | | |
| Contact Name for Due Diligence |  | | |
| Position in the organisation: |  | | |
| Telephone Number: |  | | |
| Email |  | | |
| Data Protection Register (ICO) |  | | |
| Have you got a Management Information System that can produce an Individual Learner Record (ILR) to successfully meet West of England Combined Authority requirements? | | | |
|  | **Please state the name of your MIS System** | | |
| **Details:** | | |
| Please provide any details of the Organisation’s parents and subsidiaries, ultimate parents, and any holdings and interests in other companies and businesses including company names and registration numbers (if applicable). | | | |
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## **Credit Check Consent**

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| Consent for the West of England Combined Authority to conduct a Credit Check for Due Diligence purposes |
| By ticking the box, you are giving consent for a credit reference check to be carried out on your organisation by a credit reference agency, which will leave a footprint on your organisation credit file. |
| Credit Check: ☐ |

## **Subsidy Control**

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| Subsidy Control Position | |
| *As from 1 January 2021 the EU State Aid Rules ceased to apply to the UK and have been replaced by subsidy control commitments under the EU-UK Trade and Cooperation Agreement (TCA).  It remains the responsibility of the Provider to ensure that the subsidy control regulations commitments under the TCA or such subsidy control regulations as are implemented in the UK from time to time are adhered to, and that all necessary records and evidence are kept.*    *Failure to comply with subsidy control commitments under the TCA or such subsidy control regulations as are implemented in the UK from time to time could result in recovery of some or all of any public funding paid to the Provider.*  *The Provider should satisfy itself if the Subsidy Control Legislation apply to the Services being delivered. Further guidance can be accessed at* [*Technical guidance on the UK’s international subsidy control commitments - GOV.UK (www.gov.uk)*](https://www.gov.uk/government/publications/complying-with-the-uks-international-obligations-on-subsidy-control-guidance-for-public-authorities/technical-guidance-on-the-uks-international-subsidy-control-commitments) *All Providers are advised to seek their own expert independent legal advice on Subsidy Control.* | |
| |  | | --- | | **Has your organisation or any business named above received public sector grants within the last 3 years? If so, these are likely to have been subject to EU State Aid legislation now known as UK Subsidy Control legislation.**  **If the answer is yes, please detail the name of all grants received in the last 3 years, their total value award and if these were awarded under the de-minimis and/or General Block Exception Regulation (GBER).** | |  | | |
| Subsidy Declaration: I have read the above and I understand that the grant administered by the West of England Combined Authority will be treated as ‘No Aid’. I believe my grant is compliant with the UK’s international subsidy obligations.  I have sought independent legal advice where required. | |
| *Please confirm by checking the box:* | ☐ |

## **Financial Information**

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| Have you attached your 3 years full filled accounts including P&L, Balance Sheets, and notes to the accounts? |
| *Please confirm that you have sent your account information alongside your form.*  If you have been trading for less than 3 years, please attach your full filled accounts including P&L, Balance Sheet, and notes to accounts for trading years and management accounts for the current accounting period. |
| Is there any material pending, threatened litigation or other legal proceedings connected with similar services against your organisation that may affect the award of this grant? |
|  |
| This question is applicable to colleges or ITP only.  How have the ESFA graded you in the most recent ESFA Financial Health Assessment?  Please attach evidence which can be in the form of a copy of your Financial Provider Risk Assessment (PRA Letter), ESFA Finance Dashboards or ESFA Declaration Letter. If you are a new market entrant, please state ‘not yet graded’ and ensure you complete quality of provision section below. |
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| Have any of your directors/partners or any other person who has powers of representation, decision or control in your organisation ever been disqualified from being a company director under the Company Directors Disqualification Act (1986) or ever been the proprietor, partner or director of a business that has been subject to an investigation (completed, current of pending) undertaken under the Companies, Financial Services or Banking Acts? |
| *This applies to Independent Training Providers (ITPs), Charitable and Commercial Providers and Employer providers only.* |
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| Have any of your directors/partners or any other person who has powers of representation, decision or control in your organisation ever been declared bankrupt or been subjected to an arrangement with creditors or ever been the proprietor, partner of director of a business subject to any formal insolvency procedure such as receivership, liquidation, or administration, or subject to any arrangement with its creditors? |
| *This applies to Independent Training Providers (ITPs), Charitable and Commercial Providers ad Employer providers only.* |
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| Have any of your directors/partners or any other person who has powers of representation, decision or control in your organisation ever been the proprietor, partner or director of a business that has been requested to repay a grant under any government scheme? |
| *This applies to Independent Training Providers (ITPs), Charitable and Commercial Providers ad Employer providers only.* |
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| Please provide details if you have answered yes to any of the questions above  If you answer N/A to any of the documents requested or are unable to answer the questions above, state why.  You should provide a summary of the circumstances and evidence of any remedial action that has taken place subsequently. |
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## **Quality of Provision**

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| Please state the date of your last Ofsted |  | |
| Please state your latest “Overall Effectiveness” Ofsted Grade *(The inspection must specifically relate to your organisation under the remit of Further Education and Skills)* |  | |
| Please state your Provider Self-Assessment (SAR) Grade (if applicable) |  | |
| If you do not have an Ofsted grade, please describe how your quality assurance systems and processes are used to inform and underpin improvement in the delivery and management of your provision. | | |
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## **Consortia Members Details (if applicable)**

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| --- | --- | --- | --- | --- |
| Name of Consortia Member | Individual Ofsted rating | ESFA latest financial health Assessment rating (college or ITP only) | Please tick to confirm you have an appropriate Partnership/Service Level Agreement in place and provide a copy as evidence | Please tick the box to confirm Consortia Members have given consent for a credit reference check to be carried out on their organisation by a credit reference agency, which will leave a footprint on their credit file. |
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## **Policies and Procedures**

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| Please confirm you have the following policies and procedures.  Policies must include the day they were written and the next review date. | | |
| Policy / Procedure | **Written Date** | **Review Date** |
| Equality and Diversity | Click or tap to enter a date. | Click or tap to enter a date. |
| Equal Opportunities | Click or tap to enter a date. | Click or tap to enter a date. |
| Quality Assurance | Click or tap to enter a date. | Click or tap to enter a date. |
| Safeguarding | Click or tap to enter a date. | Click or tap to enter a date. |
| PREVENT | Click or tap to enter a date. | Click or tap to enter a date. |
| Health and Safety | Click or tap to enter a date. | Click or tap to enter a date. |
| Modern Slavery Act | Click or tap to enter a date. | Click or tap to enter a date. |
| Sustainability | Click or tap to enter a date. | Click or tap to enter a date. |
| First Aid | Click or tap to enter a date. | Click or tap to enter a date. |
| Data Protection | Click or tap to enter a date. | Click or tap to enter a date. |
| Fire Risk Assessment | Click or tap to enter a date. | Click or tap to enter a date. |
| Business Continuity Plan | Click or tap to enter a date. | Click or tap to enter a date. |
| Bullying Policy | Click or tap to enter a date. | Click or tap to enter a date. |
| Document Retention Policy | Click or tap to enter a date. | Click or tap to enter a date. |
| Recruitment Policy | Click or tap to enter a date. | Click or tap to enter a date. |
| Learner Disciplinary Policy | Click or tap to enter a date. | Click or tap to enter a date. |
| IAG Policy | Click or tap to enter a date. | Click or tap to enter a date. |
| Observation Policy | Click or tap to enter a date. | Click or tap to enter a date. |
| SEND Policy / Position Statement | Click or tap to enter a date. | Click or tap to enter a date. |
| Fee Remission Policy | Click or tap to enter a date. | Click or tap to enter a date. |

## **Insurance details**

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| Please provide your Public Liability Policy Insurance Number and Certificate |
| Click or tap here to enter text. |
| Please provide and attach a copy of your Professional Indemnity Insurance |
| Click or tap here to enter text. |

| **Safeguarding** | **Yes / No** |
| --- | --- |
| **Does your organisation have a Safeguarding policy that sets out procedures safeguarding children and vulnerable adults from harm? The policy aligns with the Keeping Children Safe in Education 2022 guidance and the Safeguarding of vulnerable adults as set out under the care act of 2014.** |  |

## **FINAL DECLARATION**

**I declare that to the best of my knowledge the answers submitted to these questions are correct. I certify that I am authorised to provide the above information.**

**To be signed by a suitably authorised Accountable Officer i.e., Chief Executive/Director/College Principle/Chief Financial Officer or equivalent.**

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| --- | --- | --- | --- |
| Signed  *(To insert a digital signature, click on image, and find file OR copy the signature and paste into the box)* |  | Position | Click or tap here to enter text. |
| Name (Block Capitals) |  | Date | Dd/mm/yyyy |

## **Document Checklist**

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| --- | --- |
| 3 Years Full Accounts including P&L, Balance Sheet and Notes |  |
| ESF Financial Grading evidence – Lead organisation (if applicable) |  |
| Consortia Members Partnership Agreement/SLAs |  |
| Copy of Professional Indemnity Certificate |  |