

# Subcontracting Due Diligence form

The Education and Skills Funding Agency (ESFA) will use information in this form to conduct checks on your subcontractors. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.

The authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

This form will need to be returned in word document (.doc) and Portable Document Format (.pdf) format by uploading to the [ESFA Document exchange](https://skillsfunding.service.gov.uk/document-exchange/user-guide).

You can view more guidance on how to use Document Exchange in the [user guide](https://skillsfunding.service.gov.uk/document-exchange/user-guide).

## Section 1 – Documents to read

|  |  |
| --- | --- |
| **1.0.1** | [Subcontracting funding rules for ESFA funded post-16 funding (excluding apprenticeships) 2021 to 2022](https://www.gov.uk/government/publications/subcontracting-funding-rules-for-esfa-funded-post-16-funding-excluding-apprenticeships/subcontracting-funding-rules-for-esfa-funded-post-16-funding-excluding-apprenticeships" \l "subcontracting-reporting-and-external-audit-requirements) |
| **1.0.2** | [ESFA financial health assessment](https://www.gov.uk/government/publications/esfa-financial-health-assessment) |
| **1.0.3** | [Guidance for conducting due diligence checks on subcontractors](https://www.gov.uk/government/publications/guidance-for-conducting-due-diligence-checks-on-subcontractors) |
| **1.0.4** | [ESFA policy on funding higher risk organisations and subcontractors](https://www.gov.uk/government/publications/esfa-policy-on-funding-higher-risk-organisations-and-subcontractors) |

## Section 2 – Your subcontractors organisation

|  |  |  |
| --- | --- | --- |
| **2.0.1** | **What is your subcontractors UK Provider reference Number (UKPRN)?** |  |
| **2.0.2** | **What is the legal name of your subcontractors organisation?** |  |
| **2.0.3** | **If they trade under a different name, what is their trading name?** |  |
| **2.0.4** | **What is their UK registered business address?** |  |
| **2.0.5** | **What is their company number?**  **Enter NA if they are not registered with Companies House** |  |
| **2.0.6** | **If registered with a charity commission or regulator, enter their Charity Registration Number** |  |
| **2.0.7** | **What's the legal status of their organisation?** | Choose an item. |
| **2.0.8** | **How long have they been actively trading?** | Choose an item. |
| **2.0.9** | **What type of organisation are they?** | Choose an item. |
| **2.0.10** | **How would you classify their organisation?** | Choose an item. |

## Section 3 – Person/s in control

|  |  |  |
| --- | --- | --- |
| **3.0.1** | **Who is in control of their organisation? Full name and date of birth (DD/MM/YYYY)** | Insert at annex A |
| **3.0.2** | **Enter their partner organisations name and date of birth (DD/MM/YYYY)** | Insert at annex A |

## Section 4 – Your subcontractors declarations, criminal convictions and compliance

|  |  |  |
| --- | --- | --- |
| **4.0.1** | **Have you considered the high-risk policy when undertaking due diligence of your subcontractors?** | Choose an item. |
| **4.0.2** | **Does your subcontractor fall into any of the mandatory exclusions?** | Choose an item. |
| If yes, which? |
| **4.0.3** | **Does your subcontractor fall into any of the discretionary exclusions?** | Choose an item. |
| If yes, which? |

## Section 5 – Your subcontractors financial health

Please check the appropriate box (if you check ‘A’ you must upload the most recent set of financial evidence to Document exchange, see guidance for further details):

A. my subcontractors value of ESFA funding for delivering education and training totals £500,000 or more

B. my subcontractors value of ESFA funding for delivering education and training totals is below £500,000 and my subcontract with them would not take the total value of such subcontracts to £500,000 or more

## Section 6 – Your subcontractors primary contacts

|  |  |
| --- | --- |
| **Title** |  |
| **First name** |  |
| **Last name** |  |
| **What’s their business email address? For example: john.smith@myprovider.com** |  |
| **What’s their contact number? This can be a landline or mobile** |  |

## Section 7 – Your declaration

|  |  |  |
| --- | --- | --- |
| **6.0.1** | **Are you authorised by your organisation to submit your return?** | Choose an item. |
| **6.0.2** | **Is the information provided in your return suitable, true and accurate?** | Choose an item. |
| **6.0.3** | **Have all parties named in your return given consent to the use of their personal information?** | Choose an item. |
| **6.0.4** | **Can you provide additional information to the ESFA within 5 days of the request date?** | Choose an item. |
| **6.0.5** | **Do you accept that the ESFA may use information it already holds, gets from other government departments or which is already in the public domain to validate your answers?** | Choose an item. |
| **6.0.6** | **Do you consider any of the information provided in your return to be ‘commercial in confidence'?** | Choose an item. |

## Section 8 – Declaration and signatures

By signing on this page I confirm all of the following:

I confirm that I have read and understood the [Subcontracting funding rules for ESFA funded post-16 funding (excluding apprenticeships) 2021 to 2022](https://www.gov.uk/government/publications/subcontracting-funding-rules-for-esfa-funded-post-16-funding-excluding-apprenticeships/subcontracting-funding-rules-for-esfa-funded-post-16-funding-excluding-apprenticeships#subcontracting-reporting-and-external-audit-requirements) and [ESFA policy on funding higher risk organisations and subcontractors](https://www.gov.uk/government/publications/esfa-policy-on-funding-higher-risk-organisations-and-subcontractors) when undertaking due diligence checks

I confirm that I have carried out financial health checks. This is to ensure your subcontractor’s financial performance and ability to meet ongoing financial commitments in line with our published guidance [ESFA financial health assessment](https://www.gov.uk/government/publications/esfa-financial-health-assessment)

|  |  |
| --- | --- |
| **First name and last name** |  |
| **Signature** |  |
| **Date (DD/MM/YYYY)** |  |

### Annex A

### Person/s in control

Enter details for the senior management team who are responsible for subcontracted delivery in your organisation and, their involvement in any other organisations receiving funding directly from Education and Skills Funding Agency (ESFA) or as a subcontractor.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Full name | Job role | Time in role | Who they report to | Names of other organisations funded by ESFA |
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