

**SCHEDULE 13 - AUTHORITY AUDIT****PART 1 : PREAMBLE****1 Overview**

- 1.1 This Schedule 10 details the Audit Criteria and Audit process by which the Contractor's performance under this Contract will be measured. The management of Contractor performance is detailed in Schedule 12.

**2 Conduct of Audits**

- 2.1 Audits are conducted against Audit Criteria in the following order:
- 2.1.1 a Document Review as detailed at paragraph 4.3 and Table 1 to Part 2; and
  - 2.1.2 a Procedure Review as detailed at paragraph 4.4 and Table 2 to Part 2
- against the Training Support Management Plans.
- 2.2 Due to the size and complexity of the Training Services provision in this Contract, documents and processes will be audited using an audit sampling method. The audit sample will include a data set that is less than 100% of the items in the Training Services provision as identified in the Authority's quarterly Audit Plan.
- 2.3 Each of the Authority's quarterly Audit Plans will comprise of:
- 2.3.1 a sample of 25% of the Audit Criteria;
  - 2.3.2 any Audit Criterion that has a due date falling within the period within that quarter;
  - 2.3.3 any Audit Criterion receiving a non-conformity in the previous quarter's Audit; and
  - 2.3.4 any Audit Criterion receiving a pass with an Observation category in the previous quarter's Audit.
- 2.4 For audits of procedures, an attribute-based sampling process will be used, i.e. follows procedure or does not follow procedure.
- 2.5 Audit Criteria are listed in Table 1 and Table 2 to Part 2 of this Schedule 13.

### 3 Audit Results

- 3.1 Audits will be scored against the Audit Criteria with each criterion receiving a pass or fail. A fail is given when the Audit Criterion receives a Non-Conformity as detailed in Table 1 / Table 2. If no Non-Conformity is given to an Audit Criterion, then the Audit Criterion will be given a Pass in Table 1 / Table 2 and the grade/level of that pass shall be recorded in Table 3 in one of the following categories:
- 3.1.1 an Observation category is given where there are indications that the quality of the document / process is beginning to reduce, or that the Audit Criterion may fail at the next Audit. Indications of this may be obtained from PI or KPI measurements in the Performance Monitoring System at Schedule 12 (Performance Mechanism) or other sources identified during the conduct of the Audit;
  - 3.1.2 the PCWG will monitor Observations to ensure that they are rectified prior to a follow-up audit during the next Audit of the Training Services. Failure to rectify an Observation may lead to a Non-Conformity of that Audit Criteria at the next Audit;
  - 3.1.3 a Good Practice is given against those Audit Criterion that show a high degree of quality in delivering the Training Service. Quality may come from any of the following:
    - 3.1.3.1 evidence of a strong collaborative working approach;
    - 3.1.3.2 evidence of the Contractor proactively managing and delivering against the processes by:
      - 3.1.3.2.1 actively encouraging personnel to conduct CPD to improve the Training Service;
      - 3.1.3.2.2 rewarding personnel for using their initiative to improve the Training Service;
      - 3.1.3.2.3 actively encouraging and rewarding personnel to analyse data and MI within this Contract to improve the Training Service;
    - 3.1.3.3 high standards of documentation;
    - 3.1.3.4 evidence of quality assurance systems in place with evidence of an iterative approach to continuous improvement; and
    - 3.1.3.5 any other evidence the Authority identifies as meriting a Good Practice result.
  - 3.1.4 Good Practice results will be recorded against the Extension Performance Indicators for the First Review and if applicable the Second Review in accordance with Schedule 10 (Options to Extend).
- 3.2 Table 3 to Part 2 of this Schedule 13 provides a template in which to record the category of pass and evidence to justify the category against each Audit Criterion.

**PART 2 AUDIT CRITERIA****4 Reviews**

- 4.1 At the outset of each Audit, the Contractor shall provide the Authority with the relevant documents associated with the Audit Criteria being audited. Prior to the Document Review, the Contractor's document will be checked as follows:
- 4.1.1 to confirm whether the document is relevant and falls within the scope of the Document Review; and
  - 4.1.2 to establish whether the information in the Contractor's document must be protected and handled with special care (i.e. data protection / security classification).
- 4.2 Once paragraphs 4.1.1 and 4.1.2 have been confirmed and appropriate handling established, then the document shall be subject to the Document Review.

## Document Review

- 4.3 During the course of the Document Review, the Contractor's documents will be checked to establish and confirm whether the information within the document is:
- 4.3.1 adequate and appropriate;
  - 4.3.2 complete: that all expected content is contained within the document;
  - 4.3.3 correct: that the content complies with reliable sources such as standards and regulations;
  - 4.3.4 consistent: that content is internally consistent and consistent with other related documents; and
  - 4.3.5 current: that the content is up to date.

## Procedure Review

- 4.4 The Procedure Review will be conducted against the Training Services Management Plans contained in Schedule 9 as well as any locally produced procedures such as desk instructions.
- 4.5 During the course of the Procedure Review, the Contractor's procedures will be checked by the Authority to establish that the Contractor has developed an appropriate procedure to deliver the Training Service. The Authority shall confirm that:
- 4.5.1 the procedure is broken down into relevant processes to achieve the procedure's aim;
  - 4.5.2 the procedure is reliable and consistent;
  - 4.5.3 the procedure considers the objectives of the Training Service and meets the requirements of Schedule 2 (Statement of Requirements); and

- 4.5.4 all personnel adhere to the procedure.
- 4.6 The Authority shall establish that the procedure meets the attribute requirements of personnel delivering the Training Service by confirming that:
- 4.6.1 The procedure considers personnel competence requirements;
- 4.6.2 the procedure considers personnel behavioural requirements;
- 4.6.3 the procedure considers the SQEP that deliverers and managers should have;
- 4.6.4 the procedure's manager evaluates the competence and behaviour of the delivery team; and
- 4.6.5 the Contractor carries out internal audits of the procedure and that mechanisms for continuous improvement are in place.
- 4.7 The Authority shall establish that the procedure includes measurement of performance by confirming that:
- 4.7.1 the individual processes are measured against Performance Indicators (PIs)
- 4.7.2 the PIs are accurate and appropriate to the measurement;
- 4.7.3 the PIs have been reviewed for currency (at least quarterly in accordance with Schedule 12) and understanding by all personnel involved in the delivery of the Training Service;
- 4.7.4 the process PIs feed into the Procedure KPIs;
- 4.7.5 the KPIs are accurate and appropriate to the measurement; and
- 4.7.6 the KPIs have been reviewed for currency (at least quarterly in accordance with Schedule 12) and understanding by all personnel involved in the delivery of the Training Service.

**Table 1**

**DOCUMENT REVIEW AUDIT – AUDIT CRITERIA**

**1 Effective Date Deliverables** (enduring thereafter where stated)

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
DR 1.1	Evidence of Required Insurances	Clause 43.6	Effective Date	<ul style="list-style-type: none"> <li>Evidence provided on or before the Effective Date.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Evidence not provided to the Authority on or before the Effective Date</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 1.2	Record of Skills Audit	Clause 15.2	Effective Date	<ul style="list-style-type: none"> <li>Record provided on or before the Effective Date.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Record not provided to the Authority on or before the Effective Date</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 1.3	Record of Joint Presentations	Clause 15.4 Schedule 3	Produced for Effective Date and updated thereafter as required	<ul style="list-style-type: none"> <li>Record provided on or before the Effective Date.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Record not provided to the Authority on or before the Effective Date</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 1.4	Training Services Management Plan	Clause 9.13 & Schedule 9	Produced for Effective Date and updated thereafter as required	<ul style="list-style-type: none"> <li>Plan provided on or before the Effective Date.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Plan not provided to the Authority on or before SCD</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 1.5	Implementation Communications Plan	Clause 15.4	Produced for Effective Date and updated thereafter as required	<ul style="list-style-type: none"> <li>Plan provided on or before the Effective Date.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Plan not provided to the Authority on or before the Effective Date</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 1.6	Implementation Plan	Clause 3.6; 4.4; 15.1; 47.1; Schedule 3	Produced for Effective Date and updated thereafter during the Implementation Phase	<ul style="list-style-type: none"> <li>Plan provided on or before the Effective Date.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Plan not provided to the Authority on or before the Effective Date</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 1.7	Training Optimisation Plan	Clause 34.2: 34.4	Produced for Effective Date and updated thereafter during the Implementation Phase	<ul style="list-style-type: none"> <li>Plan provided on or before the Effective Date.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Plan not provided to the Authority on or before the Effective Date</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 1.8	Deliverable Quality Plan	Clause 81.3; Schedules 15& 18	Produced for Effective Date and updated thereafter during the Implementation Phase	<ul style="list-style-type: none"> <li>Plan provided on or before the Effective Date.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Plan not provided to the Authority on or before the Effective Date</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

**2 Service Commencement Date Deliverables** (enduring thereafter where stated)

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
DR 2.1	Relevant Procedures	Clause 9.9 & 9.10	SCD	<ul style="list-style-type: none"> <li>Procedures provided on or before the SCD.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Procedures not provided to the Authority on or before SCD</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.2	List of Proposed Staff	Clause 9.11	SCD	<ul style="list-style-type: none"> <li>List provided on or before the SCD.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>List not provided to the Authority on or before SCD</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.3	ISO 9001:2008 Certification	Clause 81.1	SCD	<ul style="list-style-type: none"> <li>Certification provided on or before the SCD.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Certification not provided to the Authority on or before SCD</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.4	Confirmation of Employee Standards	Clause 9.7 & 9.8	SCD plus 3 months	<ul style="list-style-type: none"> <li>Certification provided on or before the due date.</li> </ul>	<ul style="list-style-type: none"> <li>Confirmation not provided to the Authority on or before the due date</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
DR 2.5	ISO 14001:2004 Certification	Clause 81.2	SCD plus 3 months	<ul style="list-style-type: none"> <li>• Passes Document Review.</li> <li>• Certification provided on or before the due date.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Certification not provided to the Authority on or before the due date</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.6	ISO 9001:2015 Certification	Clause 81.1	SCD plus 5 months	<ul style="list-style-type: none"> <li>• Certification provided on or before the due date.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Certification not provided to the Authority on or before the due date</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.7	ISO 14001:2015 Certification	Clause 81.2	SCD plus 5 months	<ul style="list-style-type: none"> <li>• Certification provided on or before the due date.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Certification not provided to the Authority on or before the due date</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.8	Business Continuity Plan	Clause 10.1 Schedule15	SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Plan provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Plan not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.9	Authority Contract Handbook	Clause 15.5	SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Information for populating the Handbook provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Information for populating the Handbook not provided to the Authority in time for publication on SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.10	List of Personnel for Security Access	Clause 23.1	SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• List provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• List not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.11	Register of COSHH	Clause 25.2	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Register provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Register not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.12	Register of Insurance Losses	Clause 43.10	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Register provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Register not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.13	Register of Controlled Information	Clause 53.15	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Register provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Register not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.14	Security Policy Framework	Clause 76.3 & 76.4	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Framework provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Framework not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.15	Control Copy of IP	Clause 53.8	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Copy provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Copy not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.16	Wireless Telegraphy Licence & Register	Clause 12.1	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Register provided on or before the SCD.</li> <li>• Applicable Licences evidenced.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Register not provided to the Authority on or before SCD</li> <li>• Applicable Licences not evidenced</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.17	3 <sup>rd</sup> Party Background Intellectual Property Licences	Clause 53.4	Produced for SCD and updated thereafter as required within 20 days of 3 <sup>rd</sup> Party IP	<ul style="list-style-type: none"> <li>• Register provided on or before the SCD.</li> <li>• Applicable Licences evidenced.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Register not provided to the Authority on or before SCD</li> <li>• Applicable Licences not evidenced</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.18	Record of Data Subject Requests	Clause 100.8	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Record provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Record not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.19	Competency Management System (CMS)	Clause 15.3	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Evidence of CMS provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence of CMS not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.20	Remedy Plan	Schedule 12	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>• Evidence of Plan provided on or before the SCD.</li> <li>• Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence of Plan not provided to the Authority on or before SCD</li> <li>• Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
DR 2.21	Service Desk Records	Schedule 12	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>Evidence of Record provided on or before the SCD.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of Record not provided to the Authority on or before SCD</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 2.22	Performance Register	Schedule 12	Produced for SCD and updated thereafter as required	<ul style="list-style-type: none"> <li>Evidence of Register provided on or before the SCD.</li> <li>Passes Document Review.</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of Register not provided to the Authority on or before SCD</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

**3. Exit Period Deliverables**

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
DR 3.1	Database of Contractor's Technical Infrastructure	Clause 73.6	Exit Period	<ul style="list-style-type: none"> <li>Database provided to the Authority during the Exit Period</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Database not provided to the Authority during the Exit Period</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 3.2	Record of Transitional Assistance Services	Clause 73.18	Exit Period	<ul style="list-style-type: none"> <li>Record provided to the Authority during the Exit Period</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Record not provided to the Authority during the Exit Period</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 3.3	Training Documentation Status Report	Clause 73.31	Exit Period	<ul style="list-style-type: none"> <li>Documentation provided to the Authority during the Exit Period</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Documentation not provided to the Authority during the Exit Period</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 3.4	Redundancy Plan	Schedule 5 paragraph 5.3	Exit Period	<ul style="list-style-type: none"> <li>Plan provided to the Authority during the Exit Period</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Plan not provided to the Authority during the Exit Period</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 3.5	Exit Plan	Clause 73.1 & 73.4 Schedule 3	Exit Period	<ul style="list-style-type: none"> <li>Plan provided to the Authority during the Exit Period</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Plan not provided to the Authority during the Exit Period</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 3.6	Exit Communications Plan	Clause 73.42 & 73.43	Exit Period	<ul style="list-style-type: none"> <li>Plan provided to the Authority during the Exit Period</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Plan not provided to the Authority during the Exit Period</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 3.7	Training Documentation Final Report	Clause 73.31	Expiry Date	<ul style="list-style-type: none"> <li>Final Report provided to the Authority on or before the Exit Date</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Final Report not provided to the Authority on or before the Exit Date</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 3.8	Training Equipment Documentation	Clause 73.32	Expiry Date minus 3 months	<ul style="list-style-type: none"> <li>Documentation provided to the Authority on or before the Exit Date</li> </ul>	<ul style="list-style-type: none"> <li>Documentation not provided to the Authority on or before the Exit Date</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

**4. Governance Deliverables**

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
DR 4.1	Governance Board Calling Notices	Schedule 3	As stated in Schedule 3 Part	<ul style="list-style-type: none"> <li>Has not failed to provide 2 consecutive Calling Notices to the Authority on the</li> </ul>	<ul style="list-style-type: none"> <li>Any 2 consecutive Calling Notices not provided to the Authority on the due date</li> </ul>	[tbc%] of monthly sum until provided or	3 x months continuous level 2 deductions	[tbc%] of monthly sum

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
			7	due date per governance board. • Passes Document Review	per governance board. • Fails Document Review	rectified		
DR 4.2	Governance Board Agendas	Schedule 3	As stated in Schedule 3 Part 7	• Has not failed to provide 2 consecutive Calling Notices to the Authority on the due date per governance board. • Passes Document Review	• Any 2 consecutive Agendas not provided to the Authority on the due date per governance board. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.3	Governance Board Minutes	Schedule 3	As stated in Schedule 3 Part 7	• Has not failed to provide 2 consecutive Calling Notices to the Authority on the due date per governance board. • Passes Document Review	• Any 2 consecutive Minutes not provided to the Authority on the due date per governance board. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.4	Draft Annual Report	Schedule 3	As stated in Schedule 3 Part 7	• Draft Report provided to the Authority on the due date. • Passes Document Review	• Draft Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.5	Annual Report	Schedule 3	As stated in Schedule 3 Part 7	• Report provided to the Authority on the due date. • Passes Document Review	• Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.6	Draft Quarterly Report	Schedule 3	As stated in Schedule 3 Part 7	• Draft Report provided to the Authority on the due date. • Passes Document Review	• Draft Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.7	Quarterly Report	Schedule 3	As stated in Schedule 3 Part 7	• Report provided to the Authority on the due date. • Passes Document Review	• Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.8	Draft Annual Change Report	Schedule 3 & Schedule 4	As stated in Schedule 3 Part 7 and Schedule 4	• Draft Report provided to the Authority on the due date. • Fails Document Review	• Draft Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.9	Annual Change Report	Schedule 3 & Schedule 4	As stated in Schedule 3 Part 7	• Report provided to the Authority on the due date. • Fails Document Review	• Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.10	Draft Monthly Performance Report	Schedule 3	As stated in Schedule 3 Part 7	• Draft Report provided to the Authority on the due date. • Passes Document Review	• Draft Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.11	Monthly Performance Report	Schedule 3	As stated in Schedule 3 Part 7	• Report provided to the Authority on the due date. • Passes Document Review	• Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.12	Public Store Account Quarterly Report	Clause 30.1 & Schedule 3 paragraph 10.2.3	Quarterly to the Operating Board	• Account provided to the Authority on the due date. • Passes Document Review	• Account not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.13	Quarterly Financial Summary	Schedule 8 & Schedule 3 paragraph 21.7.7	Quarterly to the Operating Board	• Summary provided to the Authority on the due date. • Passes Document Review	• Summary not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.14	Quarterly Financial Report	Schedule 8 & Schedule 3 paragraph 21.7.7	Quarterly to the Operating Board	• Report provided to the Authority on the due date. • Passes Document Review	• Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.15	Training Optimisation Programme	Clause 34.4 Schedule 3 paragraph 6.1.3; 10.2.3; 14.2.2; 21.7.5	As stated in Schedule 3 Part 7	• Programme provided to the Authority on the due date. • Passes Document Review	• Programme not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 4.16	Business Continuity Plan Exercise Report	Schedule 3 paragraph 14.2.8	Annually to the PCWG	• Report provided to the Authority on the due date. • Passes Document Review	• Report not provided to the Authority on the due date. • Fails Document Review	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
DR 4.17	Commercial Work Report	Clause 83.4 & Schedule 3 paragraph 14.2.5	Monthly to the PCWG	<ul style="list-style-type: none"> <li>Report provided to the Authority on the due date.</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Report not provided to the Authority on the due date.</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

**5. Finance Deliverables**

ID	Deliverable	Reference	Due Date	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
DR 5.1	DEFFORM 522A <sup>1</sup>		As stated in Schedule 13	<ul style="list-style-type: none"> <li>Invoice provided to the Authority on the due date.</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Invoice not provided to the Authority on the due date.</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 5.2	Annual Accounting and Audit Report	Clause 36.2	Annually to the Strategic Board	<ul style="list-style-type: none"> <li>Report provided to the Authority on the due date.</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Report not provided to the Authority on the due date.</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
DR 5.3	Full and Final Statement	Clause 36.2 & 36.3	On or before 30 June each Contract year	<ul style="list-style-type: none"> <li>Statement provided to the Authority on the due date.</li> <li>Passes Document Review</li> </ul>	<ul style="list-style-type: none"> <li>Statement not provided to the Authority on the due date.</li> <li>Fails Document Review</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

<sup>1</sup> Due to the transition to CP&F, the process for invoicing the Monthly Sum may change in the future. The Audit Criteria for DR 5.1 shall therefore refer to the process in use at the time of the Audit.

**Table 2**

**PROCEDURE REVIEW AUDIT – AUDIT CRITERIA**

ID	Deliverable	Reference	Schedule	Pass	Fail			
				Category of Pass to be given using Table 3	Level 2 Non-Conformity	Level 2 Deduction	Level 1 Non-Conformity	Level 1 Deduction
PR 1.1	Implementation	Schedule 14 Part 2	Schedule 5	<ul style="list-style-type: none"> <li>Has not failed to achieve 2 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>2 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
PR 1.2	Governance and Contract Management	Schedule 14Part 3	Schedule 3	<ul style="list-style-type: none"> <li>Has not failed to achieve 2 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>2 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
PR 1.3	Type C Training Delivery Service	Schedule 14Part 4	Annex A to Schedule 2	<ul style="list-style-type: none"> <li>Has not failed to achieve 2 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>2 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
PR 1.4	Type B Training Delivery Support Service	Schedule 14Part 5	Annex B to Schedule 2	<ul style="list-style-type: none"> <li>Has not failed to achieve 2 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>2 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
PR 1.5	Training Support Service	Schedule 14Part 6 Training Design	Annex C to Schedule 2	<ul style="list-style-type: none"> <li>Has not failed to achieve 3 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>3 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
		Schedule 14Part 6 Training QA						
		Schedule 14Part 6 Training Planning						
		Schedule 14Part 6 Training Facilitation						
		Schedule 14Part 6 IDT and Non-RN						
PR 1.6	Training Equipment Availability Service	Schedule 14Part 7 Training Equipment	Annex D to Schedule 2	<ul style="list-style-type: none"> <li>Has not failed to achieve 3 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>3 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
		Schedule 14 Part 7 IS & IT Equipment						
		Schedule 14Part 7 TEPM						
PR 1.7	Business Information Service	Schedule 14Part 8	Annex E to Schedule 2	<ul style="list-style-type: none"> <li>Has not failed to achieve 3 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>3 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
PR 1.8	Education Services	Schedule 14Part 9 EL3R	Annex F to Schedule 2	<ul style="list-style-type: none"> <li>Has not failed to achieve 3 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>3 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
		Schedule 14Part 9 NSAP						
		Schedule 14Part 9 Accreditation						
PR 1.9	Training Optimisation Service	Schedule 14Part 10	Annex G to Schedule 2	<ul style="list-style-type: none"> <li>Has not failed to achieve 2 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>2 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
PR 1.10	FIAC	Schedule 14Part 11	Annex H to Schedule 2	<ul style="list-style-type: none"> <li>Has not failed to achieve 3 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>3 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
PR 1.11	Change Management	Schedule 14Part 12	Schedule 4	<ul style="list-style-type: none"> <li>Has not failed to achieve 2 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>2 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum
PR 1.12	Performance Management	Schedule 14 Part 13	Schedule 12	<ul style="list-style-type: none"> <li>Has not failed to achieve 2 or more checked items in the Procedure Review at Part 2 to this Schedule.</li> </ul>	<ul style="list-style-type: none"> <li>2 or more checked items in the Procedure Review at Part 2 to this Schedule have not been achieved.</li> </ul>	[tbc%] of monthly sum until provided or rectified	3 x months continuous level 2 deductions	[tbc%] of monthly sum

Table 3

DOCUMENT AUDIT CRITERIA – PASS CATEGORIES

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
DR 1.1	Evidence of Required Insurances	Clause 43.6	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 1.2	Record of Skills Audit	Clause 15.2	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 1.3	Record of Joint Presentations	Clause 15.4 Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 1.4	Training Services Management Plan	Clause 9.13 & Schedule 14	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 1.5	Implementation Communications Plan	Clause 15.4	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 1.6	Implementation Plan	Clause 3.6; 4.4; 15.1; 47.1; Schedule 5	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 1.7	Training Optimisation Plan	Clause 34.2 & 34.4	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 1.8	Deliverable Quality Plan	Clause 82.1 Schedules 15& 18	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
						Good Practice	
DR 2.1	Relevant Procedures	Clause 9.9 & 9.10	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.2	List of Proposed Staff	Clause 9.11	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.3	ISO 9001:2008 Certification	Clause 81.1	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.4	Confirmation of Employee Standards	Clause 9.7 & 9.8	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.5	ISO 14001:2004 Certification	Clause 81.2	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.6	ISO 9001:2015 Certification	Clause 81.1	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.7	ISO 14001:2015 Certification	Clause 81.2	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.8	Business Continuity Plan	Clause 10.1 & Schedule 15	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
						Good Practice	
DR 2.9	Authority Contract Handbook	Clause 15.5	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.10	List of Personnel for Security Access	Clause 23.1	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule13	Pass	
						Observation	
						Good Practice	
DR 2.11	Register of COSHH	Clause 25.2	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.12	Register of Insurance Losses	Clause 43.10	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.13	Register of Controlled Information	Clause 53.15	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.14	Security Policy Framework	Clause 76.3 & 76.4	As per Table 1 in Schedule13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.15	Control Copy of IP	Clause 53.8	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.16	Wireless Telegraphy Licence & Register	Clause 12.1	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule13	Pass	
						Observation	

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
						Good Practice	
DR 2.17	3 <sup>rd</sup> Party Background Intellectual Property Licences	Clause 53.4	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.18	Record of Data Subject Requests	Clause 100.8	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.19	Competency Management System (CMS)	Clause 15.3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.20	Remedy Plan	Schedule 12	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.21	Service Desk Records	Schedule 12	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 2.22	Performance Register	Schedule 12	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 3.1	Database of Contractor's Technical Infrastructure	Clause 73.6	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 3.2	Record of Transitional Assistance Services	Clause 73.18	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
						Good Practice	
DR 3.3	Training Documentation Status Report	Clause 73.31	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 3.4	Redundancy Plan	Schedule 5 paragraph 5.3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 3.5	Exit Plan	Clause 73.1 & 73.4 Schedule 3 & 5	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule13	Pass	
						Observation	
						Good Practice	
DR 3.6	Exit Communications Plan	Clause 73.42 & 73.43	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule13	Pass	
						Observation	
						Good Practice	
DR 3.7	Training Documentation Final Report	Clause 73.31	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 3.8	Training Equipment Documentation	Clause 73.32	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.1	Governance Board Calling Notices	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.2	Governance Board Agendas	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
						Good Practice	
DR 4.3	Governance Board Minutes	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.4	Draft Annual Report	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.5	Annual Report	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.6	Draft Quarterly Report	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.7	Quarterly Report	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.8	Draft Annual Change Report	Schedule 3 & Schedule 4	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.9	Annual Change Report	Schedule 3 & Schedule 4	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.10	Draft Monthly Performance Report	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
						Good Practice	
DR 4.11	Monthly Performance Report	Schedule 3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.12	Public Store Account Quarterly Report	Clause 30.1 & Schedule 3 paragraph 10.2.3 & 27.1.4	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.13	Quarterly Financial Summary	Schedule 8 & Schedule 3 paragraph 21.7.7	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.14	Quarterly Financial Report	Schedule 8 & Schedule 3 paragraph 10.2.3 & 21.7.7	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.15	Training Optimisation Programme	Clause 34.4 & Schedule 3 paragraph 6.1.3; 10.2.3; 14.2.2; 21.7.5	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.16	Business Continuity Plan Exercise Report	Schedule 3 paragraph 14.2.8	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 4.17	Commercial Work Report	Clause 83.4 & Schedule 3 paragraph 114.2.5	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 5.1	DEFFORM 522A <sup>2</sup>		As per Table 1 in	As per paragraph	As per paragraphs	Pass	

<sup>2</sup> Due to the transition to CP&F, the process for invoicing the Monthly Sum may change in the future. The Audit Criteria for DR 5.1 shall therefore refer to the process in use at the time of the Audit.  
 25 October 2016 OFFICIAL-SENSITIVE COMMERCIAL Schedule 13

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
			Schedule 13	3.1.2 in Schedule 13	3.1.4.3 to 3.1.4.5 in Schedule 13	Observation	
						Good Practice	
DR 5.2	Annual Accounting and Audit Report	Clause 36.2	As per Table 1 in Schedule13	As per paragraph 3.1.2 in Schedule13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	
DR 5.3	Full and Final Statement	Clause 36.2 & 36.3	As per Table 1 in Schedule 13	As per paragraph 3.1.2 in Schedule 13	As per paragraphs 3.1.4.3 to 3.1.4.5 in Schedule 13	Pass	
						Observation	
						Good Practice	

**PROCEDURE AUDIT CRITERIA – PASS CATEGORIES**

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
PR 1.1	Implementation	Schedule 14 Part 2 Schedule 5	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass	
						Observation	
						Good Practice	
PR 1.2	Governance and Contract Management	Schedule 14 Part3 Schedule 2 Annex C	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass	
						Observation	
						Good Practice	
PR 1.3	Type C Training Delivery Service	Schedule 14Part 4 Schedule 2 Annex C	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass	
						Observation	
						Good Practice	
PR 1.4	Type B Training Delivery Support Service	Schedule 14Part5 Schedule 2 Annex C	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass	
						Observation	
						Good Practice	
PR 1.5	Training Support Service	Schedule 14Part 6 Schedule 2 Annex C Training Design	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass	
						Observation	
						Good Practice	
		Schedule 14 Part 6 Schedule 2 Annex C Training QA				Pass	
						Observation	
						Good Practice	
		Schedule14 Part 6 Schedule 2 Annex C Training Planning				Pass	
						Observation	
						Good Practice	
		Schedule14 Part6 Schedule 2 Annex C Training Facilitation				Pass	
						Observation	
						Good Practice	
Schedule 14Part6 Schedule 2 Annex C IDT and Non-RN	Pass						
	Observation						
	Good Practice						
PR 1.6	Training Equipment Availability Service	Schedule 14 Part 7 Schedule 2 Annex D Training Equipment	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass	
						Observation	

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
		Schedule 14Part 7 Schedule 2 Annex D IS & IT Equipment				Good Practice	
						Pass	
						Observation	
		Good Practice					
		Pass					
		Observation					
Schedule 14 Part 7 Schedule 2 Annex D TEPM	Good Practice						
PR 1.7	Business Information Service	Schedule 14Part 8 Schedule 2 Annex E	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass Observation Good Practice	
PR 1.8	Education Services	Schedule 14Part 9 Schedule 2 Annex F EL3R	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass	
						Observation	
						Good Practice	
		Pass					
		Observation					
		Good Practice					
Schedule 14Part9 Schedule 2 Annex F NSAP	Pass						
Schedule 14 Part9 Schedule 2 Annex F Accreditation	Observation						
Good Practice							
PR 1.9	Training Optimisation Service	Schedule14 Part 10 Schedule 2 Annex G	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass Observation Good Practice	
PR 1.10	FIAC	Schedule 14Part 11 Schedule 2 Annex H	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass Observation Good Practice	
PR 1.11	Change Management	Schedule 14Part 12 Schedule 4	As per Table 2 in Schedule 13	As per para 3.1.2 of Schedule 13	As per para 3.1.4 of Schedule 13	Pass Observation	

ID	Deliverable	Reference	Pass	Observation	Good Practice	Pass category given (delete as applicable)	Evidence for category of pass given
						Good Practice	
PR 1.12	Performance Management	Schedule 14 Part 13 Schedule 12	As per Table 2 in Schedule 10	As per para 3.1.2 of Schedule 10	As per para 3.1.4 of Schedule 10	Pass	
						Observation	
						Good Practice	