Education & Skills Funding Agency

Application guidance for the Register of Apprenticeship Training Providers – Digital May 2021

May 2021

For organisations that wish to receive government funds to deliver apprenticeship training. This guidance is only applicable to providers applying through the digital registration platform.

Table of Contents

1. Information about this application guidance

This guidance is for eligible organisations applying to the Register of Apprenticeship Training Providers, that wish to deliver government funded apprenticeships in England.

It covers:

- the application process (note there are 3 routes to application: main provider, employer provider and supporting provider)
- supporting information required for your application.
- guidance on the application questions
- next steps after your application
- exit policy for existing providers that are unsuccessful.

2. Application process

There are 8 key steps in the application process.

Step 1 – read becoming an apprenticeship training provider

Step 2 – check your application route and eligibility

Step 3 – read our conditions of acceptance - you will be required to agree to these

Step 4 – read this application guidance.

Step 5 – prepare what you need and apply

Step 6 – application evaluation

Step 7 – monitor your emails for the outcome and next steps

Step 8 – join the register

Note you must only apply to one route according to your status.

ESFA may review the application process and any part of this may be subject to change, including but not limited to, the application questions and eligibility requirements.

This updated guidance provides further clarification on certain application questions, ESFA's evaluation approach and appeals process.

Important information for Employer route applicants:

Before applying to the employer provider route, we recommend that employers who want to become an employer provider and train their own apprentices consider their long term skills needs to ensure sustainability and the financial viability of delivering the apprenticeship training that meets these skills needs.

We strongly recommend attending one of our Becoming an Employer Provider workshops which will both test and challenge your delivery model and introduce our Account management arrangements.

To assess the viability of being an employer provider you may wish to consider:

- Is your need to train apprentices short term e.g. over the next 1-2 years or longer term over at least the next 3-5 years or more?
- Are you satisfied with the availability and quality of existing training providers that could meet your needs?
- Are the volume of apprentices that you plan to train every year sufficient to be cost effective and provide you with value for money on your training costs?
- Have you costed your planned programme to take into account the limits on funding you could generate for each apprenticeship standard?

- Have you calculated the cost of delivering your apprenticeship training, including only eligible costs, to ensure that you can recover some or all of your costs?

We have account managers who can discuss your plans with you to help you make a well-informed decision that is right for your organisation. Please email the helpdesk@manage-apprenticeships.service.gov.uk and a colleague will contact you.

3. Documents and evidence you will need to supply

As part of the application process, you must answer questions about your organisation and upload the required evidence, some of which will be attachments. All attachments must be in PDF format no larger than 5mb in size. You must answer the first section in order as it determines the rest of the application questions. Once you do this, you can answer the rest of the application in any order.

It will be useful to review all guidance in relation to apprenticeship delivery to help ensure you are ready to deliver apprenticeship training. The 'Becoming an Apprenticeship Training Provider' webpage will direct you to the appropriate guidance on GOV.UK.

The Education and Skills Funding Agency (ESFA) will use information:

- in the public domain to support the assessment of application answers
- they already have on your organisation to support the assessment of application questions
- from your application to verify the people in control of your organisation This is defined in the Persons with Significant Control Regs 2016.

ESFA will also check if your organisation is on the:

- Register of apprenticeship training providers (RoATP)
- Register of end-point assessment organisations

You will need to allow at least 12 weeks for ESFA to assess your application.

Your organisation can only apply once in a 12-month period, providing the Register is open.

Before you make an application, you should understand that your organisation:

- must develop and deliver apprenticeship training in line with the Institute for Apprenticeships and Technical Education's 'quality statement'
- will not join the RoATP until it completes all post application tasks - we will tell you more about this in the application (not for supporting providers)
- must follow the conditions of acceptance for the RoATP

Once your organisation is on the RoATP, it will be:

- listed on the register of apprenticeship training providers
- eligible to receive government funding to train apprentices

Being on the RoATP does not mean your organisation is recommended by ESFA. It cannot use ESFA as a 'kite-mark' or an award and will not have an identification number for the RoATP.

What you'll need

Make sure your organisation has:

- an apprenticeship service (AS) account (if you do not have one, you can create one when you apply)
- a [UK Provider Reference Number](#)
- an [Information Commissioner's Office registration number](#)
- a UK business address

Depending on your organisation and provider route, you may need to know:

- who's in control of your organisation and their dates of birth
- your organisation's financial figures (any or all of the following items):
  - financial statements
  - management accounts
  - accounts for an ultimate UK parent company
  - financial forecasts if you are applying as a supporting provider and have not reached the trading stage of producing formal financial statements for your organisation.

- if anyone who is in control of your organisation has any unspent criminal convictions
- how your organisation manages its relationship with employers and subcontractors
- who is in your organisation's management hierarchy for apprenticeships
- the sectors & standards in which your organisation will offer apprenticeships
- how your organisation plans to deliver apprenticeship training
- who will deliver apprenticeship training - including any sector specific experience and qualifications they might have
- how your organisation will evaluate training

Depending on your organisation and provider route, you may need to upload:

- financial evidence covering either the finalised latest accounting period or an actual / forecast 12-month period
- a continuity plan for apprenticeship training
- an equality and diversity policy
- a safeguarding policy
- a Prevent duty policy
- a health and safety policy
- a complaints policy
- a contract for services template with employers
- a commitment statement template
- a policy for professional development of employees
- a copy of your management hierarchy's expectations for quality and high standards in apprenticeship training

3.1 Your organisation

Have you submitted <u>an</u> application to join the RoATP in the last 12 months?

Do not include any applications that were rejected or withdrawn.

<u>If yes – you are unable to proceed with an application. If no, you are able to proceed and your application will be assessed.</u>

What is your organisation's UK provider reference number (UKPRN)?

This is an 8-digit number from the UK Register of Learning Providers (UKRLP).

To get a UKPRN, you'll need to register with the UKRLP

Main, Employer, Supporting

Confirm your organisation's details

These are the details we found on UKRLP for your UKPRN

Legal name
Trading name
Business address
Website
Organisation type
Company number
Charity registration number

Contact the UKRLP helpdesk on 0345 202 1600 or helpdesk@ukrlp.co.uk to make changes.

Main, Employer, Supporting

Choose your organisation's provider route

- Main provider

Your organisation will directly deliver training to apprentices for other organisations.

While doing this, it can also train:
- its own employees
- employees of connected companies or charities
- act as a subcontractor for other main and employer providers

- Employer provider

Your organisation will directly deliver training to its own employees.

While doing this, it can also train:
- employees of connected companies or charities
- act as a subcontractor for other employer or main provider

To be an employer provider, your organisation must be a levy-paying employer.

- Supporting provider

Your organisation will act as a subcontractor for main and employer providers to train apprentices up to a maximum of £500,000 per year.

If your organisation is new on the register, it will be limited to £100,000 in its first year.

A connected company is part of the same group and has the same ultimate parent company as your organisation.

A connected charity is part of the same group of charities and has a majority of the same controlling trustees as your organisation.

Is your organisation a levy-paying employer?

- Yes
- No

If no to this question
Your organisation cannot apply to join the RoATP as an employer provider

This is because your organisation is not a levy-paying employer.

Your organisation can still apply to join the RoATP as either a main or supporting provider.

Do you want to continue with this application?

- Yes
- No

Do you accept the conditions of acceptance for the RoATP?

Does your organisation have an ultimate parent company in the UK?

Your organisation will only have an ultimate parent company if it's part of a group.

An ultimate parent company sits at the top of your organisation's group and has the most responsibility.

If your organisation is the UK ultimate parent company, answer 'no'.

Enter your organisation's UK ultimate parent company details

What is your organisation's Information Commissioner's Office (ICO) registration number?

This is an 8-digit registration number from the ICO data protection public register. Any organisation that processes personal data must have one.

If you're not sure, search for your organisation on the ICO data protection register

To get an ICO registration number, you'll need to register with the ICO

Does your organisation have a website?

How long has your organisation been actively trading?

Actively trading is determined here as including income and expenditure arising as a result of trade and does not include the incurrence of set up or start-up costs.

Confirm who's in control

These are the details we found on Companies House.

Company directors
Name   Date of birth

People with significant control (PSCs)

Contact Companies House to change these details

Who is in control of your organisation?

This could be a:
- company director
- shareholder
- person with significant control
- person with decision making powers
- head of organisation
- trustee
- Sole trader
- partner

If there is more than one person who's in control, you can add them later.

Confirm your organisation's trustees

These are the details we found on the Charity Commission for England and Wales.

Contact the Charity Commission to change these details.

Enter the date of birth for trustees

Tell us your organisation's type

- Sole trader
- Partnership

A sole trader is someone who's self-employed and is the only owner of their business.

A partnership is when two or more people agree to share the profits, costs and risks of running a business.

If answered sole trader:

What is the individual's date of birth?

If answered partnership:

What is your organisation's partner?

- An individual
- An organisation

Further series of questions follow dependant on answer given.

What is your organisation?

- A Group Training Association
- A public body
- An Apprenticeship Training Agency
- An educational institute
- An employer training apprentices in other organisations
- An independent Training Provider
- A rail franchise operator

What is your organisation?

- A public body
- An educational institute
- A rail franchise operator
- None of the above

What type of educational institute is your organisation?

- Academy
- Further Education Institute
- General Further Education College
- Higher Education Institute
- Multi-Academy Trust
- National College
- School
- Sixth Form College

Is your organisation already registered with ESFA?

Main, Employer, Supporting

Is your organisation receiving funding from ESFA?

Main, Employer, Supporting

What type of school is your organisation?

Main, Employer, Supporting

Is your organisation monitored and supported by the Office for Students?

Main, Employer, Supporting

What type of public body is your organisation?

Main, Employer, Supporting

How long has your organisation been actively trading?

Main, Employer, Supporting

How would you describe your organisation?

Select all that apply.

- A public service mutual
An organisation that's left the public sector but still delivers public services.
- A sheltered workshop
An organisation that provides employment opportunities for people who are developmentally, physically, or mentally impaired.
- A small or medium enterprise (SME)
As explained by the HMRC's International Manual
- A third sector organisation
An organisation that does voluntary or community work. For example, a charity.
- None of the above

Main, Employer, Supporting

Is your organisation funded by the Office for Students?

- Yes   - No

Main, Employer

Does your organisation offer initial teacher training?

This means your organisation has been accredited by the Department for Education (DfE) to offer initial teacher training.

Main, Employer

Is the postgraduate teaching apprenticeship the only apprenticeship your organisation intends to deliver?

The postgraduate teaching apprenticeship is an employment-based initial teacher training route leading to qualified teacher status.

Main, Employer

Has your organisation had a full Ofsted inspection in further education and skills?

If you're not sure, check if your organisation's had an Ofsted inspection.

Main, Employer

Has your organisation had a new-provider monitoring visit for apprenticeships in further education and skills?

Main, Employer

Has your organisation had 2 consecutive monitoring visits with the grade 'insufficient progress'?

Main, Employer

Was the most recent monitoring visit within the last 18 months?

Main, Employer

If yes & within last 18 months, cannot continue with application.

Did your organisation get a grade for apprenticeships in this full Ofsted inspection?

If you're not sure, check your organisation's Ofsted inspection report.

Main, Employer

What grade did your organisation get for apprenticeships in this full Ofsted inspection?

We'll check your organisation's Ofsted inspection report to confirm your answer.

Main, Employer

Did your organisation get this grade within the last 3 years?

If you're not sure, check your organisation's Ofsted inspection report.

Main, Employer

Has your organisation-maintained funding from an education agency since its full Ofsted inspection?

This means your organisation already has an existing relationship with and has maintained funding from:
- ESFA
- Skills Funding Agency (SFA)
- Education Funding Agency (EFA)
Main, Employer

Has your organisation had a short Ofsted inspection within the last 3 years?

If you're not sure, check if your organisation's had a short Ofsted inspection.

Main, Employer

Has your organisation maintained the grade it got in its full Ofsted inspection in its short Ofsted inspection?

Main, Employer

What grade did your organisation get for overall effectiveness in this full Ofsted inspection?

We'll check your organisation's Ofsted inspection report to confirm your answer.

Main, Employer

Did your organisation get this grade within the last 3 years?

If you're not sure, check your organisation's Ofsted inspection report.

Main, Employer

If inadequate and in last three years – cannot continue.

Has your organisation had a short Ofsted inspection within the last 3 years?

If you're not sure, check if your organisation's had a short Ofsted inspection.

Main, Employer

Has your organisation maintained the grade it got in its full Ofsted inspection in its short Ofsted inspection?

Main, Employer

Has your organisation maintained funding from an education agency since its full Ofsted inspection?

This means your organisation already has an existing relationship with and has maintained funding from:

- ESFA
- Skills Funding Agency (SFA)
- Education Funding Agency (EFA)

Main, Employer

Has your organisation delivered apprenticeship training as a subcontractor in the last 12 months?

To confirm your answer, we'll review your main or employer provider's subcontractor declaration.

Supporting only

Upload a copy of a legally binding contract between your organisation and a main or employer provider

The contract must be:

- signed and dated by your organisation and a main or employer provider
- from the last 12 months

The file must be a PDF and smaller than 5MB.

All organisations - no parent company

Financial health assessment

This section is to ensure your organisation's financial performance and ability to meet ongoing financial commitments meet ESFA's expectations.

You may need to provide your organisation's:
- financial figures
- full financial statements or management accounts

Based on your answers and uploads, your organisation will receive a financial health grade.

Find out more in [ESFA's financial health policy (opens in new tab)](#).

! Financial statement uploads must not be abbreviated, filleted or accounts for a micro entity.

We may use any information we already have, or can access, to assess your application. We may ask you for additional information if we think it necessary.

Organisations with parent company

Financial health assessment

This section is to ensure your organisation's financial performance and ability to meet ongoing financial commitments and meet ESFA's expectations.

You may need to:
- provide your organisation's financial figures
- upload your organisation's full financial statements or management accounts
- upload your UK ultimate parent company's consolidated financial statements or financial statements for its active subsidiary companies

Based on your answers and uploads, your organisation will receive a financial health grade.

Find out more in [ESFA's financial health policy (opens in a new window or tab)](#)

! Financial statement uploads must not be abbreviated, filleted or accounts for a micro entity

We may use any information we already have, or can access, to assess your application. We may ask you for additional information if we think it necessary.

3.2 Your financial health

Was your organisation's total annual turnover over £75 million for the latest reported financial year?

You can find your organisation's total annual turnover on its:
- 'profit and loss statement'

- 'income and expenditure account'
- 'statement of financial activities'

- Yes   - No

Does your organisation expect its funding from ESFA to be less than 5% of its total annual turnover?

We'll check your organisation's financial statements to confirm your answer.

[Show me an example](#)
Your organisation's total annual turnover is £80 million and it expects to receive £3 million of funding from ESFA.

This is less than 5% of its total annual turnover, so the answer is yes.

- Yes   - No

Financial evidence

Enter your organisation's total annual turnover for the latest reported financial year
You can find this on your organisation's 'profit and loss statement', 'income and expenditure account' or 'statement of financial activities'.

£[BOX]

Enter your organisation's total depreciation and amortisation charges for the latest reported financial year
You can find this on your organisation's 'operating profit note to the accounts'. You'll need to add up all the items under 'note 2' and enter the total figure. -For limited companies and charities

You can find this on your organisation's 'operating profit note to the accounts'. You'll need to add up all the items under 'expenditure' and enter the total figure. -For sole traders and partnerships

£[BOX]

Enter your organisation's profit or loss for the latest reported financial year

Profit or loss is the net amount earned after tax.
You can find this on your organisation's 'profit and loss statement'. - For companies

You can find this under 'net profit' in your organisation accounts. - Sole Traders

You can find this under 'net profit' or 'net movement in funds' in your organisation's accounts. - For Charities

You can find this under your organisation's 'profit and loss statement' or under 'net profit' or 'net movement in funds' in its accounts. - For companies & charities

Enter your organisation's total dividends for the latest reported financial year
Your can find this on your organisation's 'notes to the accounts'. it may also be displayed in the calculation of shareholder funds / net assets or on a statement of changes in equity.
£[BOX]

Enter your organisation's total current assets for the latest reported financial year
You can find this on your organisation's 'balance sheet'.
£[BOX]

Enter your organisation's total current liabilities for the latest reported financial year
You can find this on your organisation's 'balance sheet' under 'creditors: amount falling due within one year'. If your current liabilities includes other creditors you must supply a break down of these creditors as other creditors is not an acceptable classification. Failure to supply a breakdown of other creditors will result in other creditors being recorded as borrowings and may affect the outcome of your assessment.
£[BOX]

Enter your organisation's total borrowings for the latest reported financial year
You will need to add up a total of:
- bank overdraft
- loans
- amounts owed to directors - including director loans and director accounts
- amounts owed to subsidiaries - if your organisation is part of a group
- amounts due under finance leases or hire purchase contracts
- additional borrowings not listed above, please refer to the ESFA FHA Guidance regarding other creditors.
£[BOX]

Enter your organisation's net assets for the latest reported financial year
You can find this on your organisation's 'balance sheet' under 'the sum of all assets less all liabilities'.
- companies & charities

You can find this on your organisation's 'balance sheet' under 'the capital account balance'. - sole traders and partnerships

£[BOX]

Enter your organisation's total intangible assets for the latest reported financial year
You can find this on your organisation's 'balance sheet' under 'fixed assets' or 'goodwill'.
£[BOX]

Enter your organisation's average number of full time equivalent Employees for the last financial year
{Box)

Main, Employer, Supporting

Has your organisation produced its latest full financial statements covering a minimum of 12 months?

-Yes   -No

Main, Employer, Supporting

Upload your organisation's latest full financial statements covering a minimum of 12 months

Financial statements must include a:

-balance sheet - showing the value of everything your organisation owns, owes and is owed on the last day of the financial year

-profit and loss account - showing your organisation's sales, running costs and profit or loss it made over the financial year

-detailed notes about the accounts

-breakdown of creditors, other creditors and borrowings

If applicable, financial statements should be signed and filed with Companies House, the Charity Commission of England and Wales, Scottish Charities Regulator or other regulatory body.

The file must be a PDF and smaller than 5MB.

Upload a file
Choose File
No file chosen

! Financial statements must not be abbreviated, filleted or accounts for a micro entity.

Main, Employer, Supporting

Has your organisation produced financial statements covering any period within the last 12 months?

- Yes   - No

Main, Employer, Supporting

Upload your organisation's financial statements covering any period within the last 12 months

Financial statements must include a:

- balance sheet - showing the value of everything your organisation owns, owes and is owed

- profit and loss account - showing your organisation's sales, running costs and profit or loss it's made

- detailed notes about the accounts

- breakdown of creditors, other creditors and borrowings

If applicable, financial statements should be signed and filed with Companies House, the Charity Commission of England and Wales, Scottish Charities Regulator or other regulatory body.

Each file must be a PDF and smaller than 5MB.

Upload financial statements
Choose File
No file chosen

! Financial statements must not be abbreviated, filleted or accounts for a micro entity.

Main, Employer, Supporting

Upload your organisation's management accounts covering the remaining period to date

Management accounts must include a:

- balance sheet - showing the value of everything your organisation owns, owes and is owed to date

- cash flow statement

- profit and loss account - showing your organisation's sales, running costs and profit or loss it's made

- detailed notes about any assumptions made

Your management accounts must start from the date your financial statements end.

Each file must be a PDF and smaller than 5MB.

Upload management accounts
Choose File
No file chosen

Has your organisation produced full management accounts covering the last 12 months?

- Yes
- No

Upload your organisation's full management accounts for the last 12 months

Management accounts must include a:

- balance sheet - showing the value of everything your organisation owns, owes and is owed for the last 12 months

- cash flow statement

- profit and loss account - showing your organisation's sales, running costs and profit or loss it's made

- detailed notes about any assumptions made

Each file must be a PDF and smaller than 5MB.

Upload management accounts
Choose File No file chosen

Upload your organisation's management accounts covering at least 3 months within the last 12 months that evidence your organisation has actively traded

Management accounts must include a:
- balance sheet - showing the value of everything your organisation owns, owes and is owed
- cash flow statement
- profit and loss account - showing your organisation's sales, running costs and profit or loss it's made
- detailed notes about any assumptions made
- a breakdown of creditors, other creditors and borrowings

Each file must be a PDF and smaller than 5MB.

Upload management accounts
Choose File
No file chosen

Upload your organisation's financial projections covering the remaining period

Financial projections must include:
- a balance sheet - showing a forecast of everything your organisation will own, owe and be owed
- a profit and loss account - showing a forecast of your organisation's sales, running costs and the profit and loss
- detailed notes about the accounts
- a breakdown of creditors, other creditors and borrowings

Each file must be a PDF and smaller than 5MB.

Upload financial projections
Choose File
No file chosen

Supporting only

Who prepared the answers and uploads in this section?

Select all that apply.

- An employee in your organisation
- An accountant or auditor
- A paid consultant
- Another third party

Main, Employer, Supporting

How many months does the accounting period cover for the financial information you are submitting?

ADDITIONAL QUESTIONS FOR ALL COMPANIES WITH A PARENT COMPANY

Does your UK ultimate parent company have consolidated financial statements?

- Yes
- No

Main, Employer, Supporting

Upload your UK ultimate parent company's consolidated financial statements

Consolidated financial statements must include:
- a balance sheet - showing the value of everything your organisation owns, owes and is owed on the last day of the financial year
- a cash flow statement
- an income statement

The file must be a PDF and smaller than 5MB.

Upload a file
Choose File No file chosen

! Consolidated financial statements must not be abbreviated, filleted or accounts for a micro entity.

Does your UK ultimate parent company have other active subsidiary companies?

- Yes
- No

>What is a subsidiary company?
It's a company controlled by your ultimate parent company.

Upload the financial statements for all your UK ultimate parent company's active subsidiary companies

Financial statements must include a:
- balance sheet - showing the value of everything your active subsidiaries own, owe and are owed on the last day of the financial year
- profit and loss account - showing your active subsidiaries sales, running costs and profit or loss it made over the financial year
- detailed notes about the accounts
- breakdown of creditors, other creditors and borrowings

If applicable, financial statements must be signed and filed with Companies House, the Charity Commission of England and Wales, Scottish Charities Regulator or other regulatory body.

The file must be a PDF and smaller than 5MB.

Upload a file
Choose File No file chosen

! Financial statements must not be abbreviated, filleted or accounts for a micro entity.

Upload your UK ultimate parent company's full financial statements covering the last 12 months

Financial statements must include a:
- balance sheet - showing the value of everything your organisation owns, owes and is owed on the last day of the financial year
- profit and loss account - showing your organisation's sales, running costs and profit or loss it made over the financial year
- detailed notes about the accounts
- breakdown of creditors, other creditors and borrowings

If applicable, financial statements must be signed and filed with Companies House, the Charity Commission of England and Wales, Scottish Charities Regulator or other regulatory body, .

The file must be a PDF and smaller than 5MB.

Upload a file
Choose File No file chosen

! Financial statements must not be abbreviated, filleted or accounts for a micro entity.

Main, Employer, Supporting

3.3 Criminal and compliance checks

Does your organisation have any composition with creditors?

Composition with creditors is an agreement between a debtor and its creditors where all the creditors agree to accept less than the original amount of debt due to them in full satisfaction of their claim.

If yes, you'll need to include:
- a brief summary of the agreement
- how your organisation will settle the debt
- the date of when the debt will be fully paid off

Main, Employer, Supporting

Has your organisation failed to pay back funds in the last 3 years?

Tell us if your organisation has failed to repay £50,000 or more:

- to ESFA or any other public body
- under a subcontract to deliver education and training services funded by ESFA

If yes, you'll need to include:
- why your organisation failed to repay funding
- which public body was involved
- if any actions were taken to resolve this

Main, Employer, Supporting

Has your organisation had a contract terminated early by a public body in the last 3 years?

If yes, you'll need to include:
- a brief summary of why the contract was terminated
- which public body was involved
- if any actions were taken to resolve this

Main, Employer, Supporting

Has your organisation withdrawn from a contract with a public body in the last 3 years?

If yes, you'll need to include:
- a brief summary of why your organisation withdrew from a contract
- which public body was involved
- if any actions were taken to resolve this

Has your organisation been removed from the Register of Training Organisations (RoTO) in the last 3 years?

If yes, you'll need to include a brief summary of why your organisation was removed.

Main, Employer, Supporting

Has your organisation had funding removed from any education bodies in the last 3 years?

This only includes funds removed by:

- the Higher Education Funding Council for England (HEFCE)
- the Office for Students (OfS)

If yes, you'll need to include:
- a brief summary of why funding was removed
- if any actions were taken to resolve this

Main, Employer, Supporting

Has your organisation been removed from any professional or trade registers in the last 3 years?

If yes, you'll need to include:
- a brief summary of why your organisation was removed
- if any actions were taken to resolve this

Main, Employer, Supporting

Has your organisation had involuntary withdrawal from Initial Teacher Training accreditation in the last 3 years?

If yes, you'll need to include a brief summary of why your organisation was withdrawn involuntarily.

Main, Employer, Supporting

Has your organisation been removed from any charity register?

This includes being removed from:

- the Charity Commission for England and Wales
- the Charity Commission for Northern Ireland
- the Office of the Scottish Charity Regulator

If yes, you'll need to include a brief summary of why your organisation was removed.

Main, Employer, Supporting

Has your organisation been investigated due to safeguarding issues in the last 3 months?

If yes, you'll need to include:
- what the issues were
- who was involved
- if any actions were taken to resolve this

Main, Employer, Supporting

Has your organisation been investigated due to whistleblowing issues in the last 3 months?

If yes, you'll need to include:
what the issues were
who was involved
if any actions were taken to resolve this

Main, Employer, Supporting

Has your organisation or any of its partner organisations been subject to insolvency or winding up proceedings in the last 3 years?

A partner organisation is an organisation who either:

- shares the same UK ultimate parent company as your organisation - so they are part of the same group
- has a legal contract with your organisation to deliver training

If yes, you'll need to include:
- names of the other organisations
- a brief summary of why this happened - including relevant dates
- outstanding judgements or legal proceedings

Main, Employer, Supporting

Does anyone who's in control of your organisation have any unspent criminal convictions?

Sole trader: Do you have any unspent criminal convictions?

An unspent criminal conviction has an outstanding sentence and is shown on a criminal record check.

Find out more about unspent criminal convictions in the Rehabilitation of Offenders Act 1974.

Criminal convictions include:
•serious crimes
•criminal conduct
•conspiracy
•money laundering
•asylum and immigrants offences
•sexual offences
•drug trafficking
•terrorism
•fraud
•theft
•corruption
•bribery

If yes, you'll need to include:
- a brief summary of the conviction
- full names of who the conviction is for (Not needed for sole traders)
- conviction dates including any time spent
- outstanding judgements or legal proceedings
- any actions your organisation has taken in relation to the conviction

Who's in control (Not needed for sole traders)
These are the people you confirmed as being in control of your organisation.

Company directors
Name   Date of birth

People with significant control (PSCs)
Name   Date of birth

Serious crimes

This is covered under sections 44 to 46 of the Serious Crime Act 2007 and section 71 of the Coroners and Justice Act 2009.

Criminal conduct

This is covered under section 93A, 93B or 93C of the Criminal Justice Act 1988 and article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996.
An offence in connection with taxation is covered under section 71 of the Criminal Justice Act 1993.

Conspiracy

This is covered under section 1 or 1A of the Criminal Law Act 1977 and article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983.

Money laundering

This is covered under section 340(11) and 415 of the Proceeds of Crime Act 2002

Asylum and immigrants offences

This is covered under section 4 of the Asylum and Immigration (Treatment of Claimants etc) Act 2004.

Sexual offences

This is covered under section 59A of the Sexual Offences Act 2003.

Drug trafficking

This is covered under drug trafficking in section 49, 50 and 51 of the Drug Trafficking Act 1994.

Terrorism

This is covered under section 41 and schedule 2 of the Counter Terrorism Act 2008.

Fraud

This is covered under the common law offence of conspiracy to defraud and section 2, 3, 4, 6 and 7 of the Fraud Act 2006.

Fraudulent trading is covered under section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006.

Fraudulent evasion is covered under section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994.

Theft

This is covered under the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978.

Corruption

This is covered under section 1(2) of the Public Bodies Corrupt Practices Act 1889 and section 1 of the Prevention of Corruption Act 1906.

Bribery

This is covered under the common law offence of bribery and section 1, 2, or 6 of the Bribery Act 2010.

Main, Employer, Supporting

Has anyone who's in control of your organisation failed to pay back funds in the last 3 years?

Sole Traders: Have you failed to pay back funds in the last 3 years?

Tell us if anyone who's in control has failed to:

- repay £50,000 or more to ESFA or any other public body
- follow the conditions of funding under ESFA funding agreements or sub-contracts

If yes, you'll need to include:
- full names of who this was - (Not needed for sole traders)
- which public body was involved
- if any actions were taken to resolve this

Who's in control? (Not needed for sole traders)
These are the people you confirmed as being in control of your organisation.

Company directors
Name   Date of birth

People with significant control (PSCs)
Name   Date of birth

Main, Employer, Supporting

Has anyone who's in control of your organisation been investigated for fraud or irregularities in the last 3 years?

Sole Traders: Have you been investigated for fraud or irregularities in the last 3 years?

If yes, you'll need to include:
- full names of who this was (not needed for sole traders)
- what the investigation was
- the outcome of the investigation
- if any actions were taken to resolve this

Who's in control? (not needed for sole traders)
These are the people you confirmed as being in control of your organisation.

Company directors
Name   **Date of birth**

People with significant control (PSCs)
Name   Date of birth

Main, Employer, Supporting

Does anyone who's in control of your organisation have any ongoing investigations for fraud or irregularities?

Sole Traders: Do you have any ongoing investigations for fraud or irregularities?

If yes, you'll need to include:
- full names of who this is (not needed for sole traders)
- what the investigation is
-any relevant dates

Who's in control? (not needed for sole traders)
These are the people you confirmed as being in control of your organisation.

Company directors
Name   Date of birth

People with significant control (PSCs)
Name   Date of birth

Main, Employer, Supporting

Has anyone who's in control of your organisation had a contract terminated by a public body in the last 3 years?

Sole Traders: Have you had a contract terminated by a public body in the last 3 years?

If yes, you'll need to include:
- full names of who this was (not needed for sole traders)
- which public body was involved
- if any actions were taken to resolve this

Who's in control? (not needed for sole traders)
These are the people you confirmed as being in control of your organisation.

Company directors
Name   Date of birth

People with significant control (PSCs)
Name   Date of birth

Main, Employer, Supporting

Has anyone who's in control of your organisation withdrawn from a contract with a public body in the last 3 years?

Sole Traders: Have you withdrawn from a contract with a public body in the last 3 years?

If yes, you'll need to include:
- full names of who this was (not needed for sole traders)
- which public body was involved
- if any actions were taken to resolve this

Who's in control? (not needed for sole traders)
These are the people you confirmed as being in control of your organisation.

Company directors
Name   Date of birth

People with significant control (PSCs)
Name   Date of birth

Main, Employer, Supporting

Has anyone who's in control of your organisation breached tax payments or social security contributions in the last 3 years?

Sole Traders: Have you breached tax payments or social security contributions in the last 3 years?

If yes, you'll need to include:
- full names of who this was   (not needed for sole traders)
- what the breach related to
- if any actions were taken to resolve this

Who's in control? (not needed for sole traders)
These are the people you confirmed as being in control of your organisation.

Company directors
Name   Date of birth

People with significant control (PSCs)
Name   Date of birth

Main, Employer, Supporting

Is anyone who's in control of your organisation on the Register of Removed Trustees?

Sole Traders: Are you on the Register of Removed Trustees?

If yes, you'll need to include:
- full names of who this was (not needed for sole traders)
- why they were removed (sole trader - why were you removed)
- if any actions were taken to resolve this

Who's in control? (not needed for sole traders)
These are the people you confirmed as being in control of your organisation.

Company directors
Name   Date of birth

People with significant control (PSCs)
Name   Date of birth

Main, Employer, Supporting

Has anyone who's in control of your organisation or any of its partner organisations been made bankrupt in the last 3 years?

Sole Traders: Have you or anyone who's in control of your partner organisations been made bankrupt in the last 3 years?

A partner organisation is an organisation who either:
- shares the same UK ultimate parent company as your organisation - so they are part of the same group
- has a legal contract with your organisation to deliver training

If yes, you'll need to include:
- full names of who this was and the organisations involved (not needed for sole traders)
- why they were made bankrupt (sole trader - why you were made bankrupt)
- if any actions were taken to resolve this

Who's in control? (not needed for sole traders)
Company directors
Name   Date of birth

People with significant control (PSCs)
Name   Date of birth

Main, Employer, Supporting

3.4 Protecting your apprentices

Upload your organisation's continuity plan for apprenticeship training
A continuity plan for apprenticeship training shows how your organisation will continue to deliver in case of a significant event.
This must include how your organisation will:

- have different methods of communication
- manage transportation needs
- provide different operating locations (if needed)
- back-up relevant business systems
- back-up and restore data
- have a list of emergency contact numbers, ESFA must be listed
- include last review date and how often the plan is reviewed
- support apprentices if you can no longer deliver training
- ensure ongoing access to apprentices' learning resources and portfolios

The file must be a PDF and smaller than 5MB.

Main, employer

Upload your organisation's equality and diversity policy
This must include how your organisation will:

- promote the policy
- get engagement towards the policy
- train its employees in implementing the policy
- consider the policy when recruiting, delivering apprenticeship training and working with employers and apprentices
- review the policy and how often (include the last review date).
The file must be a PDF and smaller than 5MB.

Main, employer, supporting

Upload your organisation's safeguarding policy
This must include how your organisation will:

- promote the policy
- get commitment to the policy
- train its employees in implementing the policy
- protect its apprentices
- prevent abuse towards its apprentices
- have a way of raising, recording and investigating concerns
- have a way of apprentices getting support or guidance
- monitor its IT usage
- review the policy and how often (include the last review date)
The file must be a PDF and smaller than 5MB.

Main, employer, supporting

Tell us who has overall responsibility for safeguarding in your organisation

This must be someone who has the overall responsibility, relevant knowledge and skills to manage safeguarding concerns.

We'll only contact them if there is a safeguarding concern.

Main, employer, supporting

Does your organisation's safeguarding policy include its responsibilities towards the Prevent duty?
This means your organisation's safeguarding policy includes how it will:

- have a legal responsibility to fulfil the prevent duty statement
- protect apprentices and employees from radicalising influences
- ensure apprentices and employees are resilient to extreme narratives
- identify changes in behaviour of apprentices and employees
- deal with any issues raised by apprentices or employees

Main, employer, supporting

(if no to previous)
Upload your organisation's Prevent duty policy

This must include how your organisation will:

- promote the policy
- get commitment to the policy
- train employees in implementing the policy
- have a legal responsibility to fulfil the prevent duty statement
- protect apprentices and employees from radicalising influences
- ensure apprentices and employees are resilient to extreme narratives
- identify changes in behaviour of apprentices and employees
- deal with any issues raised by apprentices or employees
- review the policy and how often (include the last review date)
The file must be a PDF and smaller than 5MB

What is the Prevent duty statement?
The Prevent duty statement is 'to have due regard to the need to prevent people from being drawn into terrorism'.

Main, employer, supporting

Upload your organisation's health and safety policy

This must include how your organisation will:

- promote the policy
- get commitment to the policy
- train its employees in implementing the policy
- cover apprentices in its care
- have people who are responsible for health and safety
- identify and manage health and safety concerns
- have a procedure for accidents or ill health of apprentices
- review the policy and how often (include the last review date)
The file must be a PDF and smaller than 5MB.

Main, employer, supporting

Tell us who has overall responsibility for health and safety in your organisation

This can be an individual or another organisation who has overall responsibility, relevant knowledge and skills to manage health and safety concerns.

We'll only contact them if there is a health and safety concern.

Main, employer, supporting

When acting as a subcontractor, will your organisation follow its lead provider's policies and plans?

Your organisation has an obligation to follow its lead provider's policies and plans if asked by them.

<u>What is a lead provider?</u>
A lead provider is a main or employer provider who has a direct contractual relationship with ESFA.

Main, employer, supporting

3.5 Readiness to Engage

Has your organisation engaged with employers to deliver apprenticeship training to their employees?
If Yes

Who have you engaged with?

Main

How will your organisation manage its relationship with employers?

Your answer must include how your organisation will:

- continuously monitor and improve employer engagement
- regularly review feedback from employers
- manage concerns and issues raised by employers
- manage communication with employers

Main

Tell us who's responsible for managing relationships with employers

This **must** be someone who has the overall responsibility and can make decisions independently.

We'll only contact them if there is a concern.

Main

How will your organisation promote apprenticeships to employers?

For example, through find apprenticeship training, National Careers Services or other national branding.

Main

Upload your organisation's complaints policy

This must include:

- what a complaint is
- how to raise a complaint
- how long it takes for a complaint to be resolved

The file must be a PDF and smaller than 5MB.

Main

Enter the website link for your organisation's complaints policy

The complaints policy must be published on your organisation's website and be available to apprentices and employers. This published policy must be the same as the one provided within this application.

Main

Upload your organisation's contract for services template with employers

A contract for services is a signed and dated written agreement between your organisation and an employer. It's only used where an apprenticeship is funded from the employer's apprenticeship service account.

The template must include a section for your organisation to add the services it will provide.

The file must be a PDF and smaller than 5MB.

Main

Upload your organisation's commitment statement template
Your organisation can use ESFA's commitment statement, use one from a third party or create its own.

It must include:

- the planned content and schedule for training
- what is expected and offered by the employer, the training organisation and the apprentice
- a section for the employer, apprentice and training organisation to sign
- how this will be communicated to users throughout their journey

The file must be a PDF and smaller than 5MB.

Main, Employer

What is your organisation's process for initial assessments to recognise prior learning?

Your answer **must** include how your organisation will:

- review personal learning records
- review relevant education (including training, qualifications and work experience already achieved)
- identify and analyse skill gaps
- use apprenticeships to address any skill gaps

Main, Employer

What is your organisation's process to assess English and maths qualifications for apprentices?

Your answer must include how your organisation will:

- review existing English and maths qualifications
- measure these qualifications against entry level requirements for apprenticeships
- identify and analyse any learning gaps
- identify no further learning requirements for English and maths

How will you deliver the assessments in English and maths?
- Digitally
- Paper based
- Both
- Not decided (new providers only)

Where will you deliver the assessments in English and maths?
Select all that apply.

- Digital workplace assessment
- Paper-based workplace assessment
- Training centre
- Remote venue
- Not decided yet (new providers only)

How will you continue to deliver English and maths training and assessments if there's a significant event?

Your answer must include how your organisation will:

- continue to deliver training and assessments without delays
- provide a different location, if needed
- manage transportation needs
- use different methods of communication
- have a list of emergency contacts numbers, ESFA must be listed

Does your organisation expect to use subcontractors in the first / next 12 months of joining the RoATP? (If you are a new provider you will need to detail first 12 months, an existing provider will need to detail the next 12 months of delivery)

This includes using subcontractors for any part of apprenticeship training.

How will your organisation carry out due diligence on its subcontractors?

Your answer must include how your organisation will:

- ensure extremist organisations are not funded
- ensure its commitments to ESFA are maintained through subcontractor delivery
- manage and monitor subcontractors to ensure they deliver high quality training
- manage subcontracting agreements including capacity and capability risks
- assess the financial health of its subcontractors

3.6 Planning Apprenticeship Training

What type of apprenticeship training will your organisation offer?

Select all that apply.

- Apprenticeship standards
- Apprenticeship frameworks

What type of apprenticeship training will your organisation offer?

Select all that apply.

- Full apprenticeship standards
- Full apprenticeship frameworks
- Part apprenticeship standards
- Part apprenticeship frameworks
- Functional skills

How is your organisation ensuring its ready to deliver training in apprenticeship standards?

Your answer must include how your organisation has:

- commitment and approval from senior managers to deliver apprenticeship standards
- a governance group in place to monitor delivery
- an implementation plan specific to apprenticeship training
- resources that support the delivery of apprenticeship standards

Does your organisation have a plan to transition from apprenticeship frameworks to apprenticeship standards?

Apprenticeship frameworks were replaced by apprenticeship standards by 1 August 2020

Existing apprentices on frameworks will still be able to complete the framework, providing they started on or before 31st July 2020.

How will your organisation transition from apprenticeship frameworks to apprenticeship standards?

Your answer must include how your organisation will:

- get commitment and approval from senior managers to deliver apprenticeship standards
- have a governance group in place to monitor delivery of training
- have an implementation plan specific to apprenticeship training
- have resources that support the delivery of apprenticeship standards

Why will your organisation only deliver apprenticeship frameworks?

Your answer must include:

- a brief summary of why your organisation does not have a plan to transition to apprenticeship standards.
- what sectors you're delivering frameworks in

How will your organisation engage with End Point Assessment Organisations (EPAO's)?

Your answer must include how your organisation will:

- find EPAO's for relevant apprenticeship standards
- contact EPAO's
- engage employers in the process of choosing an EPAO
- confirm a contract or service agreement with EPAO's
- engage EPAOs throughout the apprenticeship journey
- ensure the EPAO is suitable, by including what information you will ask from them
- ensure End Point Assessments are booked within the timescales published in the apprenticeship funding rules

How does your organisation plan to engage and work with awarding bodies?

Your answer must include how your organisation will:

- find awarding bodies for relevant apprenticeship frameworks
- contact awarding bodies
- get relevant information from awarding bodies
- engage employers in the process of choosing an awarding body
- confirm a contract or service agreement with awarding bodies
- ensure the awarding body is suitable, by including what information you will ask from them

How will your organisation train its apprentices?

- In your organisation
- In connected companies or charities
- In your organisation and connected companies or charities

A connected company is part of the same group and has the same ultimate parent company as your organisation.

A connected charity is part of the same group of charities and has a majority of the same controlling trustees as your organisation.

How will your organisation ensure apprentices are supported during their apprenticeship training?

Your answer must include how your organisation will:

- have the right people in place to support apprentices
- regularly check apprentice progress
- actively seek and act on apprentice feedback to ensure the programme meets each apprentice's needs and informs continuous improvement that can be evidenced.

How will your organisation ensure apprentices are supported during their apprenticeship training?

Your answer must include how your organisation will:

- have the right people in place to support apprentices
- regularly check apprentice progress-
- financially support apprentices - for example, arranging funding for equipment
- actively seek and act on apprentice feedback to ensure the programme meets each apprentice's needs and informs continuous improvement that can be evidenced.

How will your organisation provide support to its apprentices?

Select all that apply.

- Through a mentor
- Through coaching
- Access to a support network
- Access to a support group
- Other

What other ways will your organisation use to support its apprentices?

How many starts does your organisation forecast in the first/next 12 months of joining the RoATP? (If you are a new provider you will need to detail first 12 months, an existing provider will need to detail the next 12 months of delivery)

- One to 49
- 50 to 99
- 100 to 149
- 150 to 249
- 250 or more

A 'start' is an apprentice who will start their apprenticeship after your organisation joins the RoATP.

Main, Employer

When will your organisation be ready to deliver training against these forecasts?

- Within the first 3 months of joining RoATP
- Between the first 3 to 6 months of joining RoATP

Main, Employer

Will your organisation recruit new staff to deliver training against these forecast?

Main, Employer

What is the typical ratio of the staff who deliver training to the apprentices?

- One trainer between 10 or less apprentices
- One trainer between 11 to 29 apprentices
- One trainer between 30 to 49 apprentices
- One trainer between 50 or more apprentices

Main, Employer

How does your proposed staff to learner ratio offer quality support to your apprentices?

Your answer must include how:

- you are making sure each apprentice is challenged
- your delivery method is appropriate for your ratio
- you deliver individual support based on your ratio
- you would continue to deliver the same level of quality apprentice experience, if your ratio changes
- you agree on time spent on remote support vs face to face

Main, Employer

What teaching methods will your organisation use to deliver 20% off the job training?

Select all that apply.

- Distance learning - training delivered remotely for example, e-learning or webinars
- Self-directed distance learning - where the apprentice works alone with online material
- Learning support and written assignments
- Practical training - for example, shadowing, mentoring or industry visits
- Teaching of theory - for example, lectures, role-play or simulation exercises

Main, Employer

How will your organisation ensure 20% off the job training is relevant to the specific apprenticeship being delivered?

Your answer must include how your organisation will:

- use technical and theoretical elements of the apprenticeship to decide the best training method
- ensure training methods suit the employers and apprentices circumstances
- work with employers to define a delivery plan
- ensure its delivery plan is flexible and meets employers and apprentices needs
- choose the right time for off the job training - the apprentice must have had sufficient time to gain the right knowledge and skills before starting off the job training

- get feedback from the apprentice and how it's used

Where will your apprentices be trained?

This must be your organisation's main training location.

We will use this address for visits including an early monitoring visit.

3.7 Delivering Apprenticeship Training

Tell us who has overall accountability for apprenticeships in your organisation

This must be someone who's accountable for the overall management and governance of apprenticeships.

We will contact them for all apprenticeship related concerns, issues or queries after your organisation joins the RoATP.

Who is in your organisation's management hierarchy for apprenticeships?

- <u>- First name/Second name</u>
- <u>- Job role</u>
- <u>- Time in role</u>
- <u>- Is this person part of any other organisation</u>
- <u>- DOB</u>
- <u>- Email and contact number</u>

If there are more people, you can add them later.

Is this person part of another organisation that receives funding directly from ESFA or as a subcontractor?

- **Providers UKPRN collected if applicable and names of other non-provider organisations**

- **Number of years with organisation – Year Month**

  Confirm your organisation's management hierarchy for apprenticeships

Upload your management hierarchy's expectations for quality and high standards in apprenticeship training

Your management hierarchy's expectations may also be known as your organisation's mission

statement, vision statement or set of principles.

The file must be a PDF and smaller than 5MB.

Tell us how these expectations for quality and high standards in apprenticeship training are monitored and evaluated

Your answer must include how they're:

- reviewed and monitored
- reflected in developing and delivering apprenticeship training programmes
- measured through key performance indicators for the outcomes of apprenticeship training programmes
- used to benchmark apprenticeship training delivery against industry leaders

Tell us who's responsible for maintaining these expectations for quality and high standards in apprenticeship training

How are these expectations for quality and high standards in apprenticeship training communicated to employees?

Your answer must include how these expectations are:

- transparent and available to all employees
- communicated throughout your organisation - for example through training or official policies
- maintained and what feedback mechanisms your organisation has for employees

Does your organisation have a team responsible for developing and delivering training?

Training includes things like:

- training of technical skills
- apprenticeships
- work based training
- commercial training

Does your organisation have someone responsible for developing and delivering training?

This person is you if you're the only person in your organisation.

Training includes things like:

training of technical skills
apprenticeships
work based training
commercial training

Who has the team worked with to develop and deliver training?

- Other organisations
- Employers - to deliver training to their employees
- Both other organisations and employers
- No one yet

Who has this person worked with to develop and deliver training?

- Other organisations
- Employers - to deliver training to their employees
- Both other organisations and employers
- No one yet

How has the team worked with other organisations to develop and deliver training?

Your answer must include how:

- training needs were identified
- training was determined for the right solution
- learning objectives were identified and measured
- training was developed from learning objectives
- learning objectives will be delivered to apprentices

How has this person worked with other organisations to develop and deliver training?

Your answer must include how:

- training needs were identified
- training was determined for the right solution
- learning objectives were identified and measured
- training was developed from learning objectives
- learning objectives will be delivered to apprentices

How has this person worked with employers to develop and deliver training?

Your answer must include how:

- training and sector needs were identified
- training was determined for the right solution
- learning objectives were identified and measured
- training was developed from learning objectives
- learning objectives will be delivered to apprentices

How has the team worked with employers to develop and deliver training?

Your answer must include how:

- training and sector needs were identified
- training was determined for the right solution
- learning objectives were identified and measured
- training was developed from learning objectives
- learning objectives will be delivered to apprentices

Main, Supporting

How has this person worked with employers to develop and deliver training?

Your answer must include how:

- training and sector needs were identified
- training was determined for the right solution
- learning objectives were identified and measured
- training was developed from learning objectives
- learning objectives will be delivered to apprentices

Main, Supporting

Tell us who's the overall manager for this team

This must be someone who is accountable for the team responsible for developing and delivering training.

How much experience do they have in developing and delivering training?

This experience can be from either:

- your organisation
- previous employment

- Less than 9 months
- Between 9 to 18 months
- Over 18 months

Main, Employer

Tell us who's the overall manager for this team

This must be someone who is accountable for the team responsible for developing and delivering training.

Do they have at least 3 months experience in developing and delivering training?

This experience can be from either:

-your organisation
-previous employment

Supporting Only

Your sectors and employees

1.Sectors
Choose your organisation's sectors

What sectors will your organisation offer apprenticeship training in?
We'll ask you who the most experienced employee is in your selected sectors including any sector specific qualifications they may have.

Select all that apply.

- Agriculture, environmental and animal care
- Business and administration
- Care services
- Catering and hospitality
- Construction
- Creative and design
- Digital
- Education and childcare
- Engineering and manufacturing
- Hair and beauty
- Health and science
- Legal, finance and accounting
- Protective services
- Sales, marketing and procurement
- Transport and logistics

Main, Employer, Supporting

Your sectors and employees

Sectors
Choose your organisation's sectors

Add the most experienced employee for each sector

- **First name Surname**
- **DOB - Month Year**
- **Email/telephone number**

What standards will your organisation offer apprenticeship training in?

How many starts does your organisation forecast in the sector in the first/next 12 months of joining the RoATP? (If you are a new provider you will need to detail first 12 months, an existing provider will need to detail the next 12 months of delivery)

How many employees will deliver training in the sector

Main, Employer, Supporting

Who's the most experienced employee in the 'sector?

- First name/Second name
- Job role
- Time in role
- Is this person part of any other organisation
- DOB
- Email and contact number

Main, Employer, Supporting

Please detail the individuals experience in the sector

What's their experience of delivering training in this sector?
- Less than a year
Where did they gain this experience?

- One to 2 years
Where did they gain this experience?

- 3 to 5 years
Where did they gain this experience?

- Over 5 years
Where did they gain this experience?

- No experience

Do they have any qualifications relating to this sector?
- Yes
Tell us what qualifications they have
- No

Are they approved by awarding bodies to deliver training?
- Yes
Names of awarding bodies
- No

Do they have sector or trade body memberships?
- Yes
Names of sector or trade bodies
- No

Main, Employer, Supporting

Individual's experience in the sector

What type of apprenticeship training have they delivered?

- Apprenticeship standards

- Apprenticeship frameworks
- Apprenticeship standards and frameworks
- No apprenticeship training delivered

Individual's experience in the sector

How have they delivered training to apprentices?

Select all that apply.

- Classroom-based training
- Coaching
- E-learning
- Mentoring
- On the job
- Other

What's their experience of delivering training to apprentices?

- Less than a year
- One to 2 years
- 3 to 5 years
- Over 5 years
- No experience

What's the typical duration of training they have delivered to apprentices?
- Less than one month
- One to 5 months
- 6 to 12 months
- Over 12 months
- No training delivered

Upload your organisation's policy for professional development of employees
This must include how your organisation will continuously:

- improve its employees sector expertise, skills and performance
- improve its employees teaching and training knowledge, skills and performance
- Improve its employees skills and performance
- ensure learning objectives are tailored to meet employee, customer and organisation needs
- monitor employees professional development

It must also include your organisation's vision for professional development of employees.

The file must be a PDF and smaller than 5MB.

Give an example of how your organisation used this policy to improve employee expertise

Your answer must include how your organisation:

- ensures employee sector expertise is relevant to apprenticeship training
- ensures employee expertise is up to date in relevant sectors

- maintains employee expertise in relevant sectors - for example, through co-creation of apprenticeship programmes or mentoring
- will continue to improve employee expertise, if your delivery sector changes

Give an example of how your organisation used this policy to maintain employee teaching and training knowledge

Your answer must include how your organisation:

- ensured employee's teaching and training knowledge, skills and performance was kept relevant to apprenticeship training
- used teaching and training bodies to ensure employee expertise was up to date
- worked with teaching and training bodies to ensure employee expertise is maintained - for example, through co-creation of apprenticeship programmes or mentoring
- will continue to improve teaching and training knowledge, if your delivery sector changes

3.8 Evaluating Apprenticeship Training

What is your organisation's process for evaluating the quality of training delivered?

Your answer must include how your organisation:

- responds and acts on feedback from employers and learners
- continuously improves training
- identifies and addresses poor training outcomes
- uses key performance indicators to measure the quality of training

How has your organisation made improvements using its process for evaluating the quality of training delivered?

Give us an example including:

- how an issue was identified
- what improvements were made
- who was involved in implementing the improvements
- the overall outcome
- how success was measured
- The impact on the apprentices

Does your organisation's process for evaluating the quality of training delivered include apprenticeship training?

This means your existing process includes how your organisation will:

- respond and act on feedback from apprentices
- continuously improve apprenticeship training
- identify and address poor apprenticeship training

How will your organisation evaluate the quality of apprenticeship training?

Your answer must include how your organisation will:

- respond and act on feedback from employers and apprentices
- continuously improve apprenticeship training
- identify and address poor apprenticeship training

You'll also need to include any systems or processes your organisation will use to assess the quality of apprenticeship training.

Main, Employer

How will your organisation evaluate the quality of apprenticeship training?

Your answer must include how your organisation will:

- respond and act on feedback from employers, lead providers and apprentices
- continuously improve apprenticeship training
- identify and address poor apprenticeship training

You'll also need to include any systems or processes your organisation will use to assess the quality of apprenticeship training.

Supporting only

How will your organisation review its process for evaluating the quality of training delivered?

Your answer must include how your organisation will:

- regularly review the process - for example, quarterly or yearly
- identify gaps and make improvements to the process
- ensure quality is maintained throughout the process

Main, Employer, Supporting

Does your organisation have systems and processes in place to collect apprenticeship data?

To be an apprenticeship training provider, your organisation must have systems and processes in place to collect:

- retention data of apprentices
- achievement data of apprentices
- destination and progression data for apprentices - for example, permanent employment or getting a promotion at the end of the apprenticeship
- employer and apprentice feedback

Before joining the RoATP, your organisation must have systems and processes in place to get this data. We may ask for evidence on this.

Main, Employer

Does your organisation have the resources to submit Individualised Learner Record (ILR) data?

As part of joining the RoATP, your organisation is required to submit data every month using the ILR. If your organisation fails to do this, it will not receive funding under levy agreements.

Who is the individual accountable for submitting ILR data for your organisation?

Main, Employer

3.9 Finish

Do you have permission from everyone named in this application to use their details?

Main, Employer, Supporting

Have you checked with everyone named in this application that the details provided for them are accurate?

Main, Employer, Supporting

Do you have permission from your organisation to submit this application?

Main, Employer, Supporting

Do you understand that your organisation must develop and deliver apprenticeship training in line with the Institute for Apprenticeships and Technical Education's 'quality statement'?

Main, Employer, Supporting

Do you understand that your organisation will not join the RoATP until it completes all post application tasks?

We'll tell you more about the post application tasks after you submit your application.

Main, Employer, Supporting

Submit application on behalf of [ORG NAME]

Before you submit your application, you must check that all your answers and file uploads are correct.

You can check your answers and file uploads by going into each section on your application overview.

You will not be able to view them once you submit your application.

If your answers or file uploads are unclear, we may ask for clarification. If they are misleading or inaccurate, we may fail your application.

We will send all communication about this application to the email address you provide

This includes:
- clarification requests on answers or file uploads
- overall outcome of the application
- general and post application queries

[ ] I confirm that all my answers and file uploads are true and accurate to the best of my knowledge.

[ ] I understand that if I do not reply to a clarification within 5 working days, my application may fail.

[ ] I understand that I must notify ESFA 12 weeks before there is any change of ownership or control within my organisation

[ ] I understand that all communication about this application will be sent to hello@hello.co.uk.

Main, Employer, Supporting

4. Exemptions

Your responses to some questions may result in an exemption to subsequent questions.
This will be the case if you:

- have an Ofsted grade of Outstanding or Good for apprenticeships, awarded in the last 3 years OR

- had a short Ofsted inspection confirming an overall effectiveness grade of Outstanding or Good, and you were awarded an apprenticeship grade of Outstanding or Good in your most recent full inspection;
  AND

- have kept ESFA, SFA or EFA funding since then

- hold Initial Teacher Training (ITT) accreditation and only intend to deliver the post graduate teaching apprenticeship
- are funded by Office for Students (OfS)

5. Conditions of Acceptance

Conditions of Acceptance for main providers, employer providers and supporting providers.

Education and Skills Funding Agency's (ESFA) Conditions of Acceptance on to RoATP ensure government funding and apprentice needs are protected.

Admission on to and removal from RoATP is at the discretion of ESFA.

The following conditions apply to (i) all organisations currently registered on the RoATP or accepted on to RoATP after 10th February 2021 (ii) applications or re-applications on to RoATP made on or after 10th May 2021.

ESFA may, at its discretion, revise any of these conditions or add new conditions at any time. If already registered, any such revisions will be applied in relation to your organisation's registration on RoATP from the effective date of such revisions, irrespective of the date you were admitted.

Condition 1: Your organisation must have complied with the RoATP application process.

Condition 2: If your organisation is invited to re-apply, you must have re-applied by the date specified.

Condition 3: Your organisation must not have provided inadequate, incomplete and/or misleading information in its application. We may require you to evidence examples provided in the application.

Condition 4: If there is a material change in the information in your organisation's application your organisation must:

a) inform us of any such change within 1 calendar month; and

b) at all times co-operate with any enquiry we may make

Failure to do so determines the provider as high risk as set out in section 5.1.1. VIII of the [ESFA Funding Higher Risk Organisations and Subcontractors Policy](#) (or any superseding policy).

Condition 5: If your organisation's application was successful through the critical workers exceptions process, your organisation must not deliver any provision other than the type that specified in its application.

Condition 6: Your organisation:

a) must directly deliver apprenticeship training within 6 months of being listed on the register, if you are a main or employer provider. If you are a supporting provider, you must have delivered apprenticeship training as a subcontractor within 6 months of being listed on the register; or

b) must directly deliver apprenticeship training in the 6-month period subsequent to the effective date of these Conditions, if you are a main or employer provider. If you are a supporting provider, you must have delivered apprenticeship training as a subcontractor in the 6-month period subsequent to the effective date of these Conditions; and

c) should not have a period of non-delivery longer than 6 months in duration.

Condition 7: Your organisation must not:

a) be in breach of a funding agreement you hold with ESFA and/or

b) have had an apprenticeship funding agreement terminated by ESFA and/or

c) have requested to terminate your organisation's apprenticeship funding agreement held with ESFA.

Condition 8: Your organisation must not fall within the criteria set out in [ESFA Funding Higher Risk Organisations and Subcontractors policy](#) (or any superseding policy).

Condition 9: You must notify us 12 weeks prior to a change of ownership or control in your organisation.

a) If no apprenticeship delivery has taken place prior to the change you may be removed from RoATP rather than being required to re-apply to the RoATP.

b)   If apprenticeship delivery has taken place prior to the change, the new organisation may be removed or be required to re-apply to the Register.

Condition 10: Your organisation must not be assessed by ESFA as having 'inadequate' financial health and be unable to provide the assurances requested by ESFA at that time.

Condition 11: Your organisation must not be graded:

a) 'inadequate' for 'apprenticeships' by Ofsted, or

b) 'inadequate' for 'overall effectiveness' under its FE and skills remit where there is no separate Ofsted grade for apprenticeships.

Condition 12: Your organisation must not have two consecutive Ofsted monitoring visits resulting in one or more 'insufficient' progress reports.

Condition 13: If you have subcontracted provision as a main provider or employer provider, you must ensure that you follow all apprenticeship subcontracting funding rules, including submitting subcontractor declarations. If your organisation is the supporting provider, we will determine non-delivery through seeing if your organisation appears as a subcontractor in the sub-contractor declarations.

If your organisation does not comply with any of the above Conditions, ESFA may, at its discretion, take one or more of the following actions:

- **review all organisations within your group structure that are admitted on to RoATP**

    This review will consider whether organisations within the group structure are complying with the Conditions of Acceptance, the Funding Higher Risk Organisations and Subcontractors policy, apprenticeship funding rules, performance management rules, and any other ESFA rules or policy.

- **require your organisation to re-apply for admission on to RoATP**

    Any re-application will be considered in accordance with the rules and guidance applicable at that time of re-application and on the basis of the information contained in that re-application.

- **remove your organisation from RoATP**

    If ESFA takes the decision to remove a provider from RoATP as a consequence of meeting one or more of the criteria of the ESFA policy on Funding Higher Risk Organisations and Subcontractors, ESFA will not normally consider a further application for registration on to RoATP for a period of 3 years from the date of the letter confirming removal from the register.

6. What happens next

After submitting your application, you may be required to provide more information and if successful, complete our post application requirements (on boarding).

6.1 Evaluation and Feedback

Assessment process

ESFA will begin to assess applications on the first working day of each month for any applications received during the previous month. We expect the application assessment process to take approximately 12 weeks however this may take longer during busy periods.

Your application will be reviewed by our team of assessors for:

- financial health (section 6.1.1)
- due diligence (section 6.1.2)
- readiness and quality (section 6.1.3)

6.1.1 Financial Health

The outcome of our assessment will be one of the financial health grades set out below. We calculate this from the information we ask you to supply.

- Outstanding: You have robust finances, can fulfil your contractual obligations and will be able to respond to opportunities and adverse circumstances

- Good: You have sufficiently robust finances, can fulfil your contractual obligations and will be able to respond to most opportunities and adverse circumstances

- Satisfactory: You have enough resources to fulfil your contractual obligations but have limited capacity to respond to opportunities and adverse circumstances

- Inadequate: You are in financial difficulty, are likely to require additional financial support and you pose a significant risk in fulfilling your contractual obligations

An "inadequate" grade may fail your application. If the reason for failure of your application is solely because an inadequate grade for financial health is awarded and you are an existing provider with learners currently on programme, we may consider whether your organisation is still suitable to receive funding. Therefore, we reserve the right to seek further assurance on your financial status, placing any decision on the outcome of your application on hold until such time we have completed our enquiries.

You may be awarded an exempt grade where we consider this appropriate.

We reserve the right to moderate any initial grade either up or down. We consider each moderation criteria on a case-by-case basis. Moderation criteria may include, but are not limited to, the following:

a: We will not grade higher than 'satisfactory' if an organisation scores 0 points for any one of the three ratios or if your organisation is only able to supply management accounts and forecast information.

b: Where auditors have given the financial statements a qualified or adverse opinion. This may include an Emphasis of Matter or Going Concern declaration.

c: We will grade financial health as inadequate if Companies House shows your organisation has entered liquidation, insolvency, a Company Voluntary Arrangement, or is shown as dormant.

d: We will grade financial health as inadequate, if financial statements are overdue for filing at Companies House or the Charities Commission.

e: We will grade financial health as 'inadequate', if organisations do not submit the most recently filed full financial statements to us when they become available.

f: We may grade financial health as 'inadequate' if organisations do not submit additional financial information to us when requested.

g: We will grade financial health as inadequate; where we are unable to open the information submitted; the information submitted does not appear complete, contains errors, does not match the information presented on Companies House or the Charities Commission websites; or where in our view, doesn't evidence a minimum of three months active trading.

h: If there is a group/parent company whose financial position could significantly impact the financial health of the organisation, we may moderate the grade accordingly.

i: Where information other than the latest available financial statements, supported by factual evidence, indicates that the financial health is significantly different from the autoscore. 'Significantly' is defined as sufficiently different to generate an autoscore at least one grade lower. Examples might include (but would not be limited to):

- a court ruling which has financial consequences

- the loss of a material contract or area of provision

- a contingent liability crystallising

- recall of debt by the bank or investor

- loss of key personnel

- cessation of trading

j: Where an organisation's financial health is calculated as 'inadequate', solely because of a deficit on the pension scheme which reduces the level of reserves, the grade may be moderated to 'satisfactory'.

k: If long-term borrowings are high, but are predominantly and demonstrably secured on long-term fixed assets, for example a mortgage on property; if this significantly affects the financial health (by at least one grade), and finances suggest that sufficient cash is being generated to cover the associated repayments, we may moderate a calculated grade of 'inadequate' to 'satisfactory'. For this moderation criteria to be considered the financial statements submitted must clearly detail this to be the case.

l: Where an organisation's financial health, in an isolated year, is calculated as 'inadequate' solely due to making a distribution of several years' accumulated profits through a dividend, resulting in a zero score for profitability. In such circumstances, we may moderate the financial health score to 'satisfactory', if we consider that the underlying business is profitable and removal of dividend payments above the current year's profits would improve the grade.

m: We may consider moderation where an organisation can clearly demonstrate that there has been an exceptional loss of income and/or has incurred exceptional expenditure, due to COVID-19 which will result in an inadequate autoscore. This moderation will only be considered when financial statements are supported with evidence demonstrating that there will be a return to an improved financial position in the following financial statements.

n: Where an organisation has received government loans, e.g. Coronavirus Business Interruption Loans, during the COVID-19 pandemic in 2020, this will be classed as borrowings. We may moderate organisations graded inadequate to satisfactory where this government loan is the only reason for the inadequate grade and the business still appears viable. The value and details of the loan must be clearly identifiable within the financial statements.

If you are successful with your application, and you commence delivery either directly or indirectly, you may be required to submit additional financial information for scrutiny by the ESFA at any time. This information may consist of, but not be limited to, management accounts, financial forecasts and cash flow forecasts.

6.1.2. Due Diligence

We carry out **due diligence checks** on organisations applying to the RoATP.

This includes checks on the legal status of your organisation, your management team and anyone with accountability for apprenticeships, as well as your responses to our declarations for criminal convictions and compliance. To do this we will use information we hold, as well as information held in the public domain.

We need to know that you do not pose a risk to apprentices or to the use of government funding.

Your application may still be successful if you have a criminal record or history of non-compliance. However, if you do have any convictions, warnings, cautions, community resolutions, absolute/conditional discharges, admonishments or charges awaiting trial, we will make our decision according to:

- if the offence presents a risk to the safety of apprentices

- if the offence presents a risk to the use of government funds
- the actual sentence or disposal given to you for the offence
- how recent the offence was

6.1.3. Readiness and Quality

The readiness and quality section of the application will be assessed using a two-person, two-step process (the "Consensus Marking Procedure").

This comprises of:

1. independent evaluation by two individuals; and
2. pair consensuses marking

Each assessor will separately (that is, without conferring with other assessors) scrutinise the quality of answers given in each application.

Each assessor will:

- apply the criteria applicable to the relevant question as set out in the application guidance to determine the overall quality of each answer.
- give a pass/fail mark for each question depending on the detail and quality of the answer provided.
- provide a justification for the pass / fail mark given.

All of the evaluators' marks and related justifications will be recorded.

When the independent evaluation exercise has been completed, a pair consensus marking exercise will be coordinated.

They will review each other's allocated pass/fail marks and identify if they have made any different judgements. Where there is a difference in judgement, they will:

- discuss the quality of the answers given to a question and review their justification for attributing the pass/fail marks having regard to the guidance and answers provided.
- attempt to reach a consensus regarding the pass/fail mark that should be attributed to each question.
- Should it not be possible to reach a consensus an independent moderator will review the question and determine the outcome.
- record the pass/fail mark and the combined comments, which will form the text for the feedback response.

A percentage of the assessment results will be quality assured to ensure accurate pass/fail marking and feedback are consistent and in line with the published guidance.

We will assess your readiness and suitability to train apprentices using information provided in your application for capacity, capability, apprentice welfare and engagement. We need to be satisfied that you do not pose a risk to apprentices through poor quality provision and welfare.

To do this we will confirm that:

- your management and training staff have experience of managing and delivering training to learners and are established within the sectors in which you intend to deliver. Only

through experience can a provider understand the requirements of different employers and learners.

- you have set high expectations of quality of training and have a process for both maintaining and improving this.

- you have a plan for the first 6 months of being on the RoATP that takes in to account the resources that exist within your organisation.

- you have policies and plans in place that meet the needs of apprenticeships and the welfare of apprentices. You must provide these where requested and ensure they meet the requirements.

- you are ready to engage with employers or apprentices. You must have processes in place for the assessment of prior learning and delivery of English and maths, a clear understanding of how you will deliver the 20% Off The Job training ensuring it meets requirements of the funding rules, as well as templates to contract with employers and learners.

Clarifications and Messages

We may ask for more information to determine the outcome of your application. Generally, this will only be where a small proportion of questions have failed the assessment and the assessors consider that insufficient detail has been provided in the application. This is known as the clarification process. We will communicate this through email.

For the section on 'Your Financial Health', we will only seek clarification in one very specific circumstance.

- If you have not submitted your ultimate UK parent company accounts as requested by the guidance. This takes into consideration that employees submitting the application may not be fully aware of your organisations group structure.

As part of this clarification process, you will have 5 working days in which to provide the information requested. If you do not respond within the deadline, your application may be unsuccessful.

Deciding the outcome of your application

You must pass every question in order for your application to be successful. When reviewing your application, we will consider the extent to which points in each question are covered by your answer. The answers you provide will be reviewed and assessed. If you would like us to consider your evidence against a number of different questions within your application, then you must clearly reference which questions you are directing us to within your answer. If information or documents are insufficient or are not appropriate for the delivery of apprenticeships, then your application may be determined to be unsuccessful.

Application outcome

We will let you know the outcome of your application and will send a notification to the email address provided on your application.
We may share your application with other parts of the DfE to safeguard public funds and minimise risk.

Outcome - Unsuccessful

If your application is determined to be unsuccessful, we will write to inform you which questions you have been unsuccessful on.

Providers who are currently listed on the ROATP, as a result of meeting previous application requirements (those published prior to December 2018), must refer to the published market exit policy to understand the implications of an unsuccessful application.

Outcome - Successful

If your application is successful, we will write to inform you what your next steps are.

6.2 Post application requirements (on-boarding)

Providers cannot commence delivery until they are displayed on the Register.

Main providers will be contacted by our course directory team (Tribal) and provider management team to arrange what systems they need and schedule an early monitoring visit.

Employer providers will be contacted by a member of our account management team.

Before a new provider is approved to join the Register, you must undertake a series of onboarding tasks. You will be contacted by the Onboarding Team who will support you through this process.

If you do not complete all the onboarding tasks within 6 weeks of being contacted the ESFA may deem that your application has expired and is no longer valid. If this happens your organisation will not be added to the Register

Existing main and employer providers will not be required to do the full onboarding process.

6.3 Listed on RoATP

Once you have completed the post application requirements (on-boarding) you will be approved to be listed on the RoATP. Anyone who has been successful through the refresh will continue to be listed on the Register.

We publish all new providers on the register of apprenticeship training providers regularly.

Once you are on the RoATP, depending on your application route, you will be able to provide apprenticeship training either as a main provider, employer provider or supporting provider as applicable. Your registration will clearly state the route for which you have been registered.

Main providers are also published on find apprenticeship training (FAT).

Being on the RoATP does not mean we recommend your organisation and is not a 'kite mark' or an award. You will not receive an identification number for the RoATP.

6.4 Make an appeal (unsuccessful applicants)

If your application is unsuccessful and you believe the ESFA made an error in the assessment of your application, you have the right to appeal the outcome of your application on the following grounds:

- The ESFA has failed to follow its own policy and / or processes.
- Failure by the ESFA to understand or recognise the evidence you submitted

You must submit your appeal in writing to roatp.APPEALS@education.gov.uk setting out the grounds for your appeal. As part of your appeal, you will not be able to submit additional information or evidence to demonstrate that matters have moved on from your original application and that you now meet our requirements. You must submit your appeal within 10 working days of the date of receipt of your application result and feedback on your application. Following the 10 working days, we will not

accept any further additional information to support your appeal, unless this is requested by the ESFA.

If your appeal is upheld and the outcome of your application changes as a result, you will be added to the Register of Apprenticeship Training Providers. If your appeal is not upheld, the original outcome of your application will stand. If you are an existing provider, this will mean that you will have been unsuccessful in your application to re-apply to the Register of Apprenticeship Training Providers. The ESFA may terminate any contract that you might have with it for the delivering of training to apprentices. We will aim to tell you the outcome of your appeal within 15 working days of us receiving your appeal. If it is not possible for us to respond to you within this time, we will let you know of the delay and the revised date for the outcome to be issued.

There will be no further right of appeal.

6.5 Make a complaint

If you would like to make a complaint, please refer to ESFA's complaints procedure.

7. Help and support

For help and support read:

- what is the Register
- what it means to be an apprenticeship training provider
- apprenticeship funding: rules for main providers
- apprenticeship funding: rules for employer providers

If you need more support email us at helpdesk@manage-apprenticeships.service.gov.uk

We try to respond within 3 working days, but this can be longer. Please do not resend emails.

7.1 General Data Protection Regulation (GDPR)

See the ESFA privacy notice below for details about how we collect, use, protect and secure your personal information.

Privacy

We use information you submit to make assessments against the secure use of public funds. Further information about use of and access to your personal data, details of organisations with whom we regularly share data, and information about how long we retain your data, please visit: https://www.gov.uk/government/publications/esfa-privacy-notice