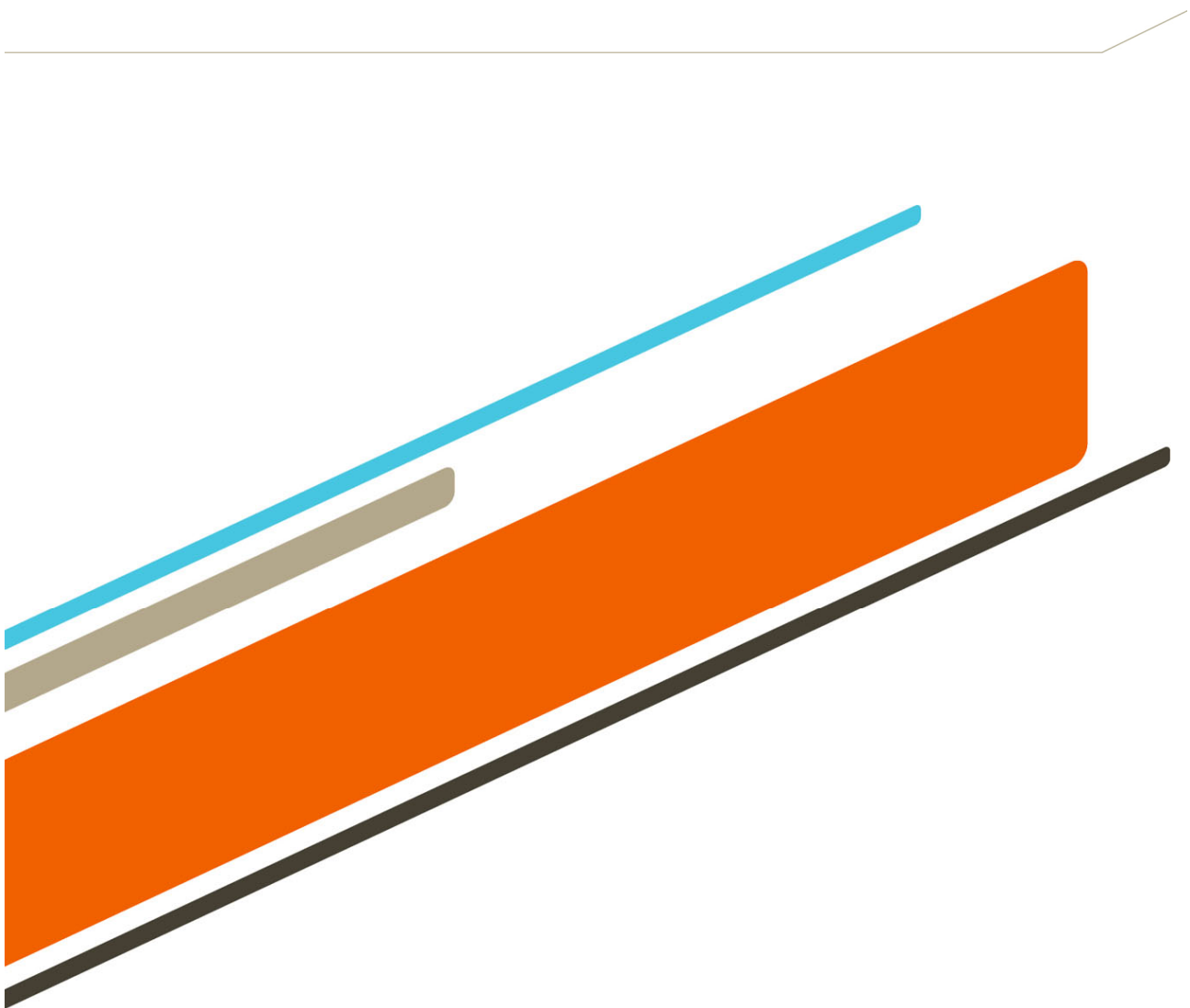


# **APPLICATION TO DELIVER REGIONAL RESPONSE TRAINING**

**(FOR PROVIDERS WHO DO NOT HOLD A TRAIN TO GAIN  
CONTRACT)**



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## Introduction

This document should only be used by providers who **do not** currently hold a Train to Gain contract. Providers with a Train to Gain contract can access Regional Response funds using the documents and process contained in the LSC publication entitled *Guidance on Regional Response Provision*.

## Section 1 - Instructions and Information on Application Procedure

### 1. General

- 1.1 These instructions are designed to ensure that all applications are given fair and equal consideration. **It is important therefore that you provide all the information asked for in the format and order specified.** If you have any doubts as to what is required or you have difficulty in providing the information requested, please contact the LSC in the region where you wish to deliver. Details of regional LSC contacts for Train to Gain Regional Response can be found at Annex A National Specification of Service Requirements, Paragraph 8..
- 1.2 References to the 'Council' throughout this document mean The Learning and Skills Council and the provision of training services will be referred to as the "Service".
- 1.3 Applicant organisations are advised that nothing in this document or its appendices and any other communication made between the Council, and any part thereof, shall be taken as constituting a contract, agreement or representation between the Council and any party (save for the award of a contract made by the Council) nor shall it be taken as constituting a contract, agreement or representation that any contract shall be offered in accordance herewith or at all.

### 2. Application Procedure

- 2.1 Applications for Regional Response funding will only be considered where a training need has been identified which is not funded through commissioned provision or where an employer specifically requests training from a particular provider. Providers must provide details of the training need and how it was identified. The Skills Broker will engage with such employers to confirm the need.
- 2.2 Providers who have already have a contract(s) with the Council for provision other than Train to Gain do not need to complete all of the Application. The Application documents describe which providers should complete which section. The provider Application types are separated into:
  - a) providers who hold other (non- Train to Gain) contracts with the LSC
  - b) providers who hold no contracts at all with the LSC i.e. "new providers".
- 2.3 Completed Applications should be returned to the regional contact in the region where the training is to take place. (See Regional Contacts details in Paragraph 8 below)

### **3. Acceptance of Applications**

- 3.1 The Council reserves the right to accept a portion of any application unless the bidder expressly stipulates otherwise in their application.

### **4. Costs and Expenses**

- 4.1 The applicant organisation is not entitled to claim from the Council any costs or expenses which may be incurred in the preparation of the application.

### **5. Debriefing**

- 5.1 Following the award of a contract, feedback to unsuccessful applicants will be available following the decisions on the award of an agreement.

### **6. Freedom of Information**

- 6.1 The Council is subject to the Freedom of Information Act 2000 (FOIA). Under the provision of the FOIA the Council is required to provide information it holds in response to a request made in Applicants accordance with the FOIA. This includes information about third parties. Applicants are referred to the Guidance on the Learning and Skills Council's Policy for Access to Information on the LSC website at:  
<http://readingroom.lsc.gov.uk/lsc/2006/internaladmin/inforequest/nat-freedomofinformation-ps-june2006.pdf>

### **7. Assessment of Applications**

- 7.1 Applications will be assessed according to national guidance which is designed to ensure agreements are only awarded to providers who have demonstrated they can deliver high quality, flexible and responsive provision.
- 7.2 An Assessment Panel will consider each application. The Assessment Panel will be formed from key regional staff from the Council and will assess the applications and make a recommendation to the Regional Director.
- 7.3 The decision of the Regional Director will be final and there will be no appeals process.

### **8. Contract Award**

- 8.1 Only applicant organisations that state acceptance of the Council's terms and conditions for the basis of any contract will be considered.
- 8.2 The Council reserves the right to add or substitute conditions that are more consistent with the offer or are otherwise more acceptable to the parties to any contract.

8.3 The Council will agree the Service Specification [Schedule1], the Finance, Volume and Performance Schedule [Schedule 2], and any Special Conditions of Contract with the accepted provider[s]. These, once agreed, will form part of the contract between the Council and the Provider.

## **9. The Learning and Skills Council Terms and Conditions of Contract**

9.1 Tendering organisations are required to accept the Council Terms and Conditions of Contract (issued to all organisations without a current LSC contract) and are asked to indicate this in their response.

## **Section 2 - National Specification of Service Requirements**

### **1. Overview of Train to Gain**

- 1.1. The 2005 Skills White Paper emphasises the need to raise national skill levels to achieve the twin goals of enabling individuals to realise their potential and businesses to become more wealth creating and economically successful. Train to Gain addresses this need to raise national skills levels.
- 1.2. Train to Gain is a new way of working with employers that uses a new, independent and impartial Skills Brokerage service to diagnose business and training needs and sources training and wider business development activities to meet these needs.
- 1.3. It is employer focused and led, with a particular emphasis on identifying employers' needs and supporting LSC priority learners – i.e. employees without a first full level 2 who also need to improve their basic skills.
- 1.4. The Train to Gain offer will be presented to employers by the new Skills Broker service. Independence and impartiality will be the core principles of this Skills Broker service to ensure employers' needs are effectively analysed and relevant solutions provided.
- 1.5. Providers will deliver funded and non-funded training to meet the employers' needs identified by the Skills Brokerage service. Funding for this training is contestable and providers wishing to access Regional Response funding must complete this application form.
- 1.6. Train to Gain Skills Brokers will work closely with colleges and private training providers and other information advice and guidance and skills intermediaries to access appropriate opportunities and ensure the employers' skills needs are met and delivered.
- 1.7. A priority for Train to Gain is to enable many more adults to achieve a first full Level 2 qualification and to improve their basic literacy, numeracy and language skills, where this inhibits their ability to progress immediately onto a Level 2 programme. Train to Gain will contribute directly to the achievement of Public Service Agreement (PSA) targets and skills related performance measures including Skills for Life, Adult Level 2 and Level 3 (including Apprenticeships), and Skills for Life, as well as directly supporting the engagement of employers within the wider skills agenda and business development activities.
- 1.8. A key objective of Train to Gain is to increase the level of employer investment in training and development. We are confident that as employers see the benefits to their businesses of working with Train to Gain Skills Brokers, they will wish to invest in a wider range of training for greater numbers of staff.

- 1.9. Some skills policy areas will be fully subsidised to employers e.g. first Level 2 qualifications and appropriate basic skills qualifications, contributing to the achievement of a first Level 2, are paid for by the LSC, whereas others may require a contribution (in terms of workforce time and money) from the employer e.g. Level 3 qualifications, leadership and management training and Investors in People and including bespoke training for which the employer will be expected to pay the full cost.
- 1.10. Providers who secure funding will be encouraged to demonstrate the highest levels of employer responsiveness and vocational excellence through the new standard signalled in the recently published FE White Paper – Further Education: Raising Skills, Improving Life Chances. The Learning and Skills Council will lead the development of this new standard and providers will receive further details of the standard in their first year of delivery.

## **2. Train to Gain and Apprenticeships**

- 2.1. The Apprenticeship is the government's preferred option for vocational learners in the 16 – 25 age group and they should be recruited onto the Apprenticeship programme wherever possible. Train to Gain will be an important route to recruit employers to offer Apprenticeships
- 2.2. Apprenticeships provide not just the skills needed for today's job but also the knowledge and transferable skills that will enable employees to adapt to new employment situations in the future. They also deliver the skills that young people need to progress from level 2 to level 3 and beyond to higher education. With the longest time in the workforce this age group can benefit most from the Apprenticeship programme.
- 2.3. In individual circumstances only, for example where an employee has a time limited employment contract that would make an Apprenticeship unfeasible and the employee also satisfies the eligibility rules for Train to Gain core funding, NVQ only for 19-25 year olds will be fundable through Train to Gain as an interim measure, with the aim of enabling the individual to continue their development to achieve a full apprenticeship in the future.
- 2.4. The numbers enrolled on NVQ only will be closely monitored and the performance of brokers or providers who have significant numbers funded for NVQ only for this age group will be reviewed to ensure that Train to Gain is not viewed as a means of re-introducing funding for NVQ only for this age group.

## **3. Funding and Eligibility**

- 3.1. The funding rates and eligibility for funding are detailed in full in *Requirements for Funding Train to Gain 2006/07* available at [www.lsc.gov.uk](http://www.lsc.gov.uk) . The following paragraphs describe the principal criteria for

Train to Gain funding and eligibility. Applicants should refer to *Requirements for Funding Train to Gain 2006/07* for full details.

- 3.2. The discrete funding for Train to Gain will support employers and their eligible employees to address first full level 2 and basic skills training needs.
- 3.3. Train to Gain discrete funding supports learners towards first full level two and approved basic skills qualifications only. Learners with a full level two will not be eligible for discrete Train to Gain support for Skills for Life provision.
- 3.4. Funding through this discrete programme is not available for learners who already possess a full level two qualification. Train to Gain specific funding is not available for any level two vocational qualifications that are not classified as 'full' as detailed on the LSC Learning Aims Database <http://providers.lsc.gov.uk/lad/>.
- 3.5. Learners who do not already possess a full level two qualification are also eligible for Train to Gain if they go straight to a full level three qualification. These learners are referred to as 'level three jumpers'.
- 3.6. Learners when enrolling on level two programmes will be asked to sign a declaration to confirm that they do not already possess a full level two qualification. Learners already with full level two qualifications may be funded by the LSC through other routes, such as FE colleges where tuition fees would apply, or the employer may pay the full cost.
- 3.7. Discrete Train to Gain funding can be used only for Skills for Life provision designed to enable achievement of a first full Level 2 vocational qualification. A learner assessed as having literacy, language or numeracy skills below Level 1 is unlikely to have the skills to be able to undertake a first full level 2. Discrete Train to Gain funds will therefore be available for basic skills learning aims leading to Certificates in Literacy, Numeracy and English for Speakers of Other Languages (ESOL) Skills for Life at levels 1 and 2. In such cases the delivery of a basic skills learning aim will precede or run concurrently with delivery of Level 2 vocational provision.
- 3.8. Where an employee has basic skills needs at Entry level or already has a full level 2 qualification or higher, brokers should ensure that their needs are met through other LSC-funded provision or through non-LSC funded provision funded by the employer.

#### **4. Information Advice and Guidance**

- 4.1. Information, Advice and Guidance (IAG) **to employees** on qualifications and training; eligibility for LSC funded training options; financial support; and local and regional skill shortages and priorities must be delivered as part of the Train to Gain training provision offer as learners need to be aware of the learning, skills and work opportunities that are available to them and understand how they can gain access to them.

- 4.2. The DfES National Policy Framework and Action Plan for IAG sets out a statement of the quality and range of services that should be available in all areas for adults aged 20 or over to enable them to access comprehensive and up-to-date information about learning and work free of charge. The requirements of this policy statement apply to the IAG element of the Train to Gain training provision offer.
- 4.3. Once the learner is engaged within the Train to Gain training provision offer IAG should be offered at an early stage to confirm the learner is on the right course and thereafter as part of an in learning review process. IAG should also be offered immediately prior to or post exit learning to support progression planning.
- 4.4. All requests for advice and guidance should meet the following response times:
- 24 hour response to requests for information. The response could take the form of a text message, phone call, email or face-to-face;
  - Where users require signposting to alternative or further sources of IAG, this should be done within 24 hours of the original enquiry;
  - If information has to be sought elsewhere the user should be advised of this within 3 working days; and
  - Appointments for advice should be available within 5 working days of the date of receipt of the original request.
- Source :IAG for Adults: A National Policy Framework and Action Plan DfES 2003*
- 4.5. Providers wishing to access the Train to Gain training provision offer should ensure that their IAG processes identify clearly the goals or progression pathways for all programmes. All Individual Learning Plans should identify possible progression routes.
- 4.6. Providers wishing to access the Train to Gain training provision must provide and information, advice and guidance service for learning and skills, accredited to the matrix Quality Standard or be working toward matrix accreditation appropriate to the IAG service being offered. More information can be obtained from <http://www.lifelonglearning.co.uk/iag/> .

## **5. Branding and Marketing**

- 5.1. The Train to Gain brand must be nationally consistent across all media and channels to establish one distinctive and sustainable image in the minds of customers (employers and employees) and stakeholders. Consistent interpretation and expression of the brand ensures that whenever and wherever people interact with Train to Gain the experience they have matches the promise Train to Gain makes.

- 5.2. Detailed instructions on branding and marketing, including brand and design guidelines, will be issued to successful providers at the contracting stage. All Train to Gain accredited training providers must agree to the following:
- The licence to use the Train to Gain brand means total compliance with LSC's national Brand Identity policy and the Train to Gain brand and design guidelines.
  - The Train to Gain brand is based on a one brand (masterbrand) strategy, i.e. all Train to Gain material used or produced by Train to Gain accredited Training Providers must be branded Train to Gain.
  - The only exception is stationery. Train to Gain accredited training providers are **not permitted** to use Train to Gain stationery. They must use their own stationery, branded with their own brands to distinguish them from Train to Gain accredited Skills Brokers who operate with Train to Gain stationery.
  - All Train to Gain-branded material (whether produced by the LSC, Train to Gain accredited Skills Brokers or Train to Gain accredited training providers) is endorsed visibly (i.e. on the cover) by the LSC.
  - Train to Gain accredited training providers can reference the Train to Gain brand on the front of their own training provider-branded stationery and material by using the Train to Gain training provider endorsement logo.
  - The LSC is making Train to Gain branded templates, and a basic suite of brochures/leaflets available electronically to Train to Gain accredited training providers for use or adaptation within the Train to Gain brand and design guidelines. Based on this, Train to Gain accredited training providers are expected to print their own Train to Gain-branded material.
  - LSC National Marketing will audit compliance with the Brand Identity policy and the Train to Gain brand and design guidelines on an annual basis.
- 5.3. Train to Gain accredited training providers will be required to:
- To actively support the development of the Train to Gain branding by attending meetings, using toolkits and guidance resulting from the LSC's marketing and communications strategy for Train to Gain, nationally and regionally.
  - To register for marketing and communication updates, with a named contact, who will be responsible for marketing and communication linkages.

- To use/purchase available materials and resources in support of Train to Gain so to avoid unnecessary duplication or cost and to ensure consistency of the brand.

## **6. Quality and Inspection**

- 6.1. Providers wishing to access Train to Gain funding to deliver to employers and employees will have to meet minimum levels of quality.
- 6.2. Providers who are already in receipt of funding and have been inspected by either OFSTED or ALI will need to have an inspection grade of 3 or above for both Leadership and Management and any area of learning they wish to use Train to Gain funding to deliver to.
- 6.3. Providers who are not currently in receipt of funding will need to demonstrate they have a track record of delivering high quality provision to employers and employees. External quality assurances such as awarding bodies' external verification reports, ISO9000 accreditation and Investor in People status will serve to support providers' application.
- 6.4. To be considered for Train to Gain funding providers will need to show appropriate completion rates for each sectors they wish to deliver to. Previous and planned completion rates will be an important aspect in the assessment of bids.
- 6.5. All providers will need to demonstrate high levels of employer satisfaction which is measured through regular on-going feedback and analysis of employers' views and completion rates for qualifications delivered to employees.
- 6.6. Providers receiving Train to Gain contestable funding will be subject to inspection by OFSTED/ALI and as such must follow the Common Inspection Framework.

## **7. Performance Management**

- 7.1. Successful providers will be subject to regular performance reviews with the Council.
- 7.2. Providers will be required to collect data and produce reports to the Council which show progress towards the targets and milestones outlined in the agreed Development and Delivery Plan. In addition the Council will review starts, learner progress, achievements and achievement rates, and funding usage on a regular basis.
- 7.3. Detailed performance management arrangement will be agreed between the Applicant and Council at regional level.
- 7.4. Where performance falls below targets and expected levels the Council reserves the right to terminate the contact.

## 8. Regional Contacts

Region	Address	Telephone	Email
East	Felaw Maltings 42 Felaw Street Ipswich IP2 8SJ	0800 387 326	<a href="mailto:ttg-ee-leadregistration@info-requests.co.uk">ttg-ee-leadregistration@info-requests.co.uk</a>
East Midlands	17a Meridian East Meridian Business Park Leicester LE19 1UU	0845 0194177	<a href="http://www.lsc.gov.uk/regions/EastMidlands/whatwedo/Train+to+Gain+providers.htm">www.lsc.gov.uk/regions/EastMidlands/whatwedo/Train+to+Gain+providers.htm</a>
North East	Moongate House 5th Avenue Business Park Team Valley Gateshead Tyne and Wear NE 11 0HF	0800 083 3312	<a href="mailto:traintogain@businesslinktw.co.uk">traintogain@businesslinktw.co.uk</a>
North West	9 <sup>th</sup> Floor Arndale House Arndale Centre Manchester M4 3AQ	0845 602 0062	<a href="mailto:information@traintogainnw.org">information@traintogainnw.org</a>
London	Centre Point 103 New Oxford Street London WC1A 1DR	0800 634 0262	<a href="mailto:traintogain.londonregion@smart-contact.co.uk">traintogain.londonregion@smart-contact.co.uk</a>
South East	Princes House 53 Queens Road Brighton East Sussex BN1 3XB	0845 751 2288	<a href="mailto:info@traintogainse.co.uk">info@traintogainse.co.uk</a>
South West	St Lawrence House 29-31 Broad Street Bristol BS99 7YJ	08456 047 047	<a href="mailto:traintogain@bldc.co.uk">traintogain@bldc.co.uk</a>
West Midlands	15 Bartholomew Row Birmingham B5 5JU	08000 754 557	<a href="mailto:info@skillshotline.co.uk">info@skillshotline.co.uk</a>
Yorkshire and the Humber	Mercury House 4 Manchester Road Bradford BD5 0QL	0845 833 7000	<a href="mailto:traintogain@blwy.co.uk">traintogain@blwy.co.uk</a>

## Section 3 – Application Documentation

### 1. Introduction and Instructions

1.1. The application document consists of three sections covering the aspect described below in 1.2.

#### 1.2. Part A – Organisational capacity

- Organisation and legal entity details
- Contact details
- Status as LSC funded provider
- Technical capacity

Part B – Details of training need and training and qualification to be delivered.

Part C – Information from Applicants who do not hold any contract with the Council. **(THIS PART ONLY NEEDS TO BE COMPLETED BY APPLICANTS WHO DO NOT HOLD ANY CURRENT CONTRACTS WITH THE LSC - see paragraph 2.2 above)**

## **PART A**

### **1. Organisation Details**

- 1.1 Please complete details for your organisation in the right-hand column of the following table.

Name of organisation	
Legal entity	
Registered name and company registration number (if applicable)	
Group name (if applicable)	
Date of formation	
Date of commencement of trading	
Details of parent and/or subsidiary companies	
Vat Registration Number	
Website address	

### **2. Contact Details**

- 2.1 In the space below, please give the name of the person in the organisation who can be contacted regarding the application process.
- 2.2 All future correspondence regarding the application such as confirmation of receipt and notification as to whether the organisation has been successful will be sent to this individual.

Contact name	
Title and role in organisation	
Address	
Telephone number	
Fax number	
Email address	

## 2. LSC provider status

- 2.1. If your organisation is currently funded, or has been funded during the past three years, by the LSC, please complete the table below.
- 2.2. For this section, a single line description and the value of the contract(s) will be sufficient

	Type of service(s) contracted	LSC region or local LSC
Current LSC supplier		
Previous LSC supplier		
Unique Provider Identification Number (if applicable):		

- 2.3. Please use the box below to indicate whether your organisation of has applied to delivery Train to Gain training before.

Region	Date of application	Outcome (successful/unsuccessful)

## 3. Technical capacity to provide Train to Gain training provision.

- 3.1. In this section you should provide details of delivery of similar training that you have been involved in over the past three years. This should include the total value (both from funding and fees earned) of delivery, including numbers of learners in employment supported and achievement rate. Information on your management processes should also be included.
- 3.2. If your organisation has not delivered training and qualifications to employers and employees as required by *Train to Gain*, you should give a brief description of how you will build capacity within your organisation to ensure effective delivery. It is important that applicants demonstrate that they will have the capacity to deliver under *Train to Gain* funding with accredited staff.

Please limit your response to a maximum of **500 words**.

- 3.3. Discrete Train to Gain funding is available to support basic skills qualifications leading to Level 1 or Level 2 Certificates in Literacy, Numeracy and ESOL Skills for Life. Train to Gain providers will be expected to follow good provider practice by delivering basic skills qualifications (and support) that are contextualised and embedded in the vocational programme where this is appropriate. Please describe below examples of how you have delivered basic skills qualifications in a sector and vocational context.

*Please limit your response to a maximum of **500 words**.*

- 3.4. IAG is an integral element of part of the Train to Gain training provision offer – IAG delivery should be provided at the start, middle and end of the learning journey and the Train to Gain approved learning provider should have **matrix** accreditation appropriate to the service being delivered (i.e. **matrix** accreditation of student support only is inappropriate if these are not the staff delivering IAG to learners within Train to Gain). IAG in learning can be subcontracted by the Train to Gain approved learning provider to another agency as long as they are **matrix** accredited.
- 3.5. If your organisation has not delivered IAG to employers and employees as required by Train to Gain you should give a brief description of how you will build capacity within your organisation to ensure effective delivery of the service.

*Please limit your response to a maximum of 500 words.*

## **5. Staff and management arrangement details**

- 5.1 Please describe the staffing and management arrangements you will implement for Train to Gain training provision in this region. Please state where the staff and management will be based and what percentage of the staff have an appropriate teaching or assessment qualification. If staff are not yet in place please state how you will build capacity to the required levels. You should include in this section how you will ensure your staff will have the necessary skills to undertake IAG and effective individual business training needs analysis.

*Please limit your response to a maximum of 1000 words.*

## **PART B – Organisational Details**

1.1

<b>1 Organisation</b>
-----------------------

Name of organisation	
Contact Name	
Address	
Telephone number	
Fax number	
Email address	

1.2 Please provide details of the skills need and training to be delivered

Skills need identified	
Skills need identified by	
Employer name	
Employer sector	
Reason for requesting Regional response	

1.3 Qualifications to be delivered:

Name of Qualification	Sector <sup>1</sup>	Number of high level funded Qualifications <sup>2</sup>	Number of low level funded Qualifications <sup>2</sup>	Start dates	End dates

1. Sectors

Health, Public Services and Care  
 Engineering and Manufacturing Technologies  
 Construction, Planning and the Built Environment  
 Information and Communication Technology  
 Retail and Commercial Enterprise

Transportation  
 Hair and Beauty  
 Hospitality  
 Leisure, Travel and Tourism  
 Business, Administration and Law

2. See *Requirements for Funding Train to Gain 2006/707*

1.4

**2 Previous experience and references**

1.4.1 Please provide details of any current or recent contracts you have with public sector organisations, or where you have delivered publicly funded learning either directly or as a sub-contractor in the last 3 years:

a.	Name of contract holder:	
b.	Address:	
c.	Period of contract:	
d.	Contact name, address (if different from above) and telephone number:	
e.	Service provided:	
f.	If the service you provided was publicly funded learning, please provide the following information for the last 12 months period:	
i)	Qualification(s) offered:	
ii)	Number of learners started:	
iii)	Average number in learning:	
iv)	Number of learners leaving:	
v)	Number of leavers achieving a qualification:	

1.4.2

a.	Name of contract holder:	
b.	Address:	
c.	Period of contract:	
d.	Contact name, address (if different from above) and telephone number:	

e.	Service provided:	
----	-------------------	--

f.	If the service you provided was publicly funded learning, please provide the following information for the last 12 months period:	
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i)	Qualification(s) offered:	
----	---------------------------	--

ii)	Number of learners started:	
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iii)	Average number in learning:	
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iv)	Number of learners leaving:	
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v)	Number of leavers achieving a qualification:	
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Note: Please continue on a separate sheet using the same headings.

1.4.3 Please confirm that we may approach the contacts named above for a reference.

<b>Health and Safety</b>
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<b>LSC LEARNER HEALTH &amp; SAFETY QUESTIONNAIRE - HSQ 1</b>
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**Why this is important - the LSC's approach to learner health and safety**

The health and safety of learners is a fundamental value for the Learning and Skills Council. We believe that learners are entitled to learning that takes place in a safe, healthy and supportive environment. In addition, we consider that safe learning is essential to maximise learners' experience and achievement.

**Purpose of the questionnaire**

It is the policy of the LSC to seek assurance that those we fund have suitable and sufficient arrangements for learner health and safety. The LSC requires this questionnaire to be completed as part of seeking assurance. The senior person with overall responsibility for learner health and safety should sign the declaration. 'You' refers to your organisation, college, provider or body the LSC is funding. If you cannot answer the questions as required, please confirm the actions that you will take to be able to do so. For new organisations etc. for 'do you' read 'will you'.

<b>NAME AND ADDRESS OF ORGANISATION</b>

<b>GENERAL REQUIREMENTS</b>		
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<b>1</b>	Can you confirm you have in place suitable and sufficient insurance in respect to learners (employers' liability, public liability and other e.g. driving) and as legally required?	YES / NO
<b>2</b>	Have you ever been prosecuted under health and safety legislation or been served prohibition or improvement notices by an Enforcing Authority e.g. HSE? <i>(if Yes, please provide details)</i>	YES / NO
<b>3</b>	Are you aware of, and complying with, relevant health and safety legislation?	YES / NO

<b>YOUR POLICY</b>		
--------------------	--	--

<b>4</b>	Do you have a health and safety policy (statement, organisation and arrangements)?	YES / NO
<b>5</b>	Does the policy include a commitment to, and arrangements for, learners/young persons?	YES / NO
<b>6</b>	Does your policy work in practice and help create a 'safety culture' and 'safe learners'?	YES / NO

<b>ORGANISING EFFECTIVELY</b>		
<b>7</b>	Do you have competent assistance (person(s)) for health and safety? Please detail competent person(s) and position held:-	YES / NO
<b>8</b>	Are health and safety responsibilities made clear for key staff and employees?	YES / NO
<b>9</b>	Do you have effective arrangements for communicating health and safety matters?	YES / NO
<b>10</b>	Do you have effective arrangements for the consultation and participation of employees and learners in health and safety matters?	YES / NO

<b>PLANNING AND IMPLEMENTING GOOD HEALTH AND SAFETY</b>		
<b>11</b>	Have you assessed the risks to the health and safety of your employees and learners?	YES / NO
<b>12</b>	Have you arrangements in place to review and adjust risk assessments if a learner has special needs, a disability, learning/language difficulty or is a young person?	YES / NO
<b>13</b>	Have you got effective control measures/precautions as a result of risk assessments?	YES / NO
<b>14</b>	Do you review risk assessments to take account of changes/accidents/incidents?	YES / NO
<b>15</b>	Do you have arrangements for ensuring safe plant and equipment and using PPE?	YES / NO
<b>16</b>	Do you have clear standards/procedures covering who does, what and when?	YES / NO

<b>MEASURING YOUR PERFORMANCE</b>		
<b>17</b>	Do you regularly check health and safety standards and conditions in practice?	YES / NO
<b>18</b>	Do you have effective arrangements in place for the identification, investigation, notification and reporting of accidents and ill-health to employees and learners?	YES / NO
<b>19</b>	Do managers monitor health and safety performance e.g. at management meetings?	YES / NO

<b>REVIEWING AND AUDITING YOUR PERFORMANCE AND IMPROVEMENTS (inc self-assessment)</b>		
<b>20</b>	Do you periodically audit your health and safety arrangements?	YES / NO
<b>21</b>	Do senior managers review performance, e.g. annually, and identify improvements?	YES / NO
<b>22</b>	Do you have an annual health and safety action/development plan?	YES / NO
<b>23</b>	Is there a commitment to continually raise health and safety standards?	YES / NO

<b>PROMOTING THE 'SAFE LEARNER'</b>		
<b>24</b>	Do you ensure learners receive effective information, instruction and training (inc induction)?	YES / NO
<b>25</b>	Do you evaluate the effectiveness of this information, instruction and training?	YES / NO
<b>26</b>	Do you ensure the effective supervision of learners?	YES / NO
<b>27</b>	Do you promote the concept of the 'safe learner'?	YES / NO

<b>LEARNING IN SAFE, HEALTHY AND SUPPORTIVE ENVIRONMENTS</b>		
<b>28</b>	Do you have arrangements for ensuring, and monitoring, that learning takes place in safe, healthy and supportive environments?	YES / NO
<b>29</b>	If learning takes place at other locations e.g. work placements, work experience etc do your arrangements include assessing health and safety suitability prior to the learning taking place?	YES / NO

**OVERALL RESPONSIBILITY FOR HEALTH & SAFETY**  
 Please supply contact details of the senior person within your organisation with overall responsibility for learner health and safety matters.

**NAME**  
 .....  
 .....

**CONTACT ADDRESS**.....  
 .....  
 .....  
 .....

**TELEPHONE NO.** ..... **E MAIL**  
 .....

**DECLARATION of NAMED SENIOR PERSON**  
 I hereby confirm the information supplied on this questionnaire is correct and we undertake to inform the LSC of any significant changes.

**SIGNED:** ..... **POSITION:** .....

**ON BEHALF OF:** ..... **DATE:** .....

**LSC Use Only**

Action taken to quality assure:

Assured by:

Position:

**Recommendation:**

Signed:

Date:

Learner Health and Safety Good Practice Website is at [www.safelearner.info](http://www.safelearner.info)

<b>Equality and diversity</b>
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1.	Do you have an up to date Equal Opportunities policy/strategy?	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
2.	Does your organisation have clear lines of responsibility for Equal Opportunities issues?	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
3.	Are Equal Opportunities targets for recruitment and learners' successful participation set and monitored at a senior level in your organisation?	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
4.	Does your organisation's performance levels meet (or exceed) target levels set?	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
5.	Does your organisation have a recruitment and selection process that promotes equality of opportunity?	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
6.	Can you provide evidence that the organisation encourages participation from under-represented learner groups?	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
7.	Does your organisation's promotional material conform to legal requirements and use positive images of people from different backgrounds?	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
8.	Do you apply any external quality standards in relation to equality of opportunity? <i>(Please give details)</i> .....	<b>Yes</b> <input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
	.....		
	.....		
	.....		

**PART C Information from Applicants who do not hold any contract with the Council**

**(THIS PART ONLY NEEDS TO BE COMPLETED BY APPLICANTS WHO DO NOT HOLD ANY CURRENT CONTRACTS WITH THE LSC See paragraph 2.2 above)**

**Background**

**The purpose of this section of the application is to assess the capability of your organisation to deliver services for the LSC. In support of this application you are asked to provide additional relevant documents, which should clearly indicate the name of your organisation**

Checklist

The following checklist will help you to make sure that you have attached all the relevant supporting documents to your form. Please show clearly on each document the number (shown in brackets below) of the section, to which the document refers.

Please tick the boxes on this checklist once you have added the relevant document.

- Your objectives and details of relevant statutes or regulations (1.2a)
- Your management and staffing structure (1.2b)
- Delegated authority if applicable (2.2/2.4/2.5)
- Certificate of Incorporation/Charities Commission registration (2.2/2.6)
- Details of consortium/joint venture if applicable (2.5)
- Financial information appropriate to the value of the contract you would wish to deliver (2.8)
- Statement regarding legal proceedings (2.8)
- Statement giving additional information (2.8)
- Consortium/joint venture lead organisation if applicable (2.8)
- Employers' liability (3)
- Public liability (3)
- Professional Indemnity insurance (3)
- Statement that your organisation has no outstanding payments (tax or social security)
- Confirmation that there is no, nor has been, involvement with any trustee in bankruptcy, receiver, liquidator, or administrator (5)

## 1 Background information

1.1 Name of your organisation:

--

a. Date it was set up:

--

b. Date it opened or started to provide services:

--

c. Name of owner, chief executive or director:

--

d. E-mail:

--

e. Name of daily contact:

--

f. E-mail:

--

g. Phone:

--

h. Fax:

--

i. VAT registration number:

--

1.2 Organisational Structure and Pen Picture:

- a) Please provide documentation, which show the aims of your organisation and details of any relevant legal or other conditions that apply to your organisation.
- b) Please attach an organisation chart, which gives details of your management and staffing structure. Make sure you include details of your organisation's relationship with other organisations – for example, where your organisation is part of, or owned by, another organisation. Please show which senior manager will be responsible for LSC-funded services and (if different) which will be responsible for quality assurance and improvement.

## 2 Financial and legal information

We need legal and financial information about your organisation so we can make sure that our contract is with the correct legal entity and that we fully understand the nature of your organisation. We also need information about the financial performance and stability of your organisation. This is to help us carry out our duty to check that contractors can meet the terms and conditions of any contracts with us.

### 2.1 Please indicate the legal status of your organisation

- A Public Limited Company (PLC) (go to question 2.2) .....
- A Private Limited Company (LTD) – limited by shares (go to question 2.2) .....
- A Private Limited Company (LTD) – limited by guarantee (go to question 2.2)
- Sole Trader (go to question 2.3) .....
- Partnership or limited liability partnership (go to question 2.4) .....
- Consortium/Joint Venture (go to question 2.5) .....
- Complete questions 2.2-2.4 for each major member of the consortium/joint venture. Additionally, please provide details of the lead organisation and the relationship between consortium/joint venture members as set out at question 2.5*
- Other e.g. Public Corporation (go to question 2.7) .....
- In addition, if you are a registered charity please complete question 2.6 .....

**2.2 LIMITED COMPANIES – PRIVATE AND PUBLIC (LTD, PLC)** – You have identified that your organisation is a Limited Company (either Public [PLC] or Private [LTD] limited by share or guarantee) from question 2.1 above. Please complete the following information, and proceed to question 2.7.

Trading name *(if different from 1 above)* .....

Company registration number .....

Registered office .....

.....

Date of incorporation .....

Plc       Ltd       Limited by share       Limited by guarantee

Please enclose a photocopy of the organisation’s ‘Certificate of Incorporation’ *(please tick box to indicate enclosure)*

**2.3 SOLE TRADER** – If you are a Sole Trader, please complete the following information and then go to question 2.7.

Full name of proprietor .....

Date of commencement of the business .....

**2.4 PARTNERSHIP** – You have identified the organisation as a Partnership, please complete the following information and then go to question 2.7.

Full name of Partners:	i) .....	ii) .....
	iii) .....	iv) .....
	v) .....	vi) .....
	vii) .....	viii) .....

Please indicate which partners(s) named above can enter into contract on behalf of the partnership. ....

.....

Where delegated authority to sign contracts on behalf of the organisation has been given, please include a copy of that delegated authority *(please tick box to indicate enclosure)*

What name should appear on contracts with the LSC? .....

.....

If the partnership is a limited liability partnership, please tick

Date of commencement of the business .....

**2.5 CONSORTIUM/JOINT VENTURE** – You have identified that the organisation is a consortium/joint venture from question 2.1 above. In addition to complete separate financial and legal questionnaires for each major member of the consortium/joint venture, please set out the following (*then go to question 2.7*).

Name of Consortium / Joint Venture Members	i) .....	ii) .....
	iii) .....	iv) .....
	v) .....	vi) .....
	vii) .....	viii) .....

Please indicate with whom the LSC will contract .....

Who has delegated authority to sign contracts on behalf of the consortium/joint venture (please also include a copy of that delegated authority, memorandum of understanding or contract)? (*please tick box to indicate enclosure*) .....

Please provide details on how, and when, you set up (or intend to set up) the consortium/joint venture, including details on the stake each member organisation will hold and who will ultimately control the consortium/joint venture (*please tick box to indicate enclosure*) .....

**2.6 CHARITIES** – If your organisation is a registered charity, please complete the following:

Name(s) of Trustees: .....

.....

- Who has delegated authority to sign contracts on behalf of the organisation (please also include a copy of that delegated authority)? (*please tick box to indicate enclosure*) .....
- .....

Charity registration number: .....

- Please confirm that your organisation will have either sufficient restricted or unrestricted funds available to comply with obligations that may arise during delivery of any subsequent contract awarded:-

Yes  No

If you have answered **No** to the question above, please indicate what funding would be available to support any subsequent contract awarded.

.....

.....

- Please provide copies of 'certificates of incorporation' and 'charities commission registration' as appropriate (*please tick box to indicate enclosure*)

What is the legal entity of the charity? .....

.....

## 2.7 FINANCIAL CAPACITY

- a) Please confirm the organisation's turnover as set out in the latest set of audited financial statements (or other document if appropriate) .....
- .....
- b) Please confirm the organisation's forecast turnover for the current financial year .....
- .....
- c) What level of additional business, not included in (b) above, is the organisation currently in the process of tendering for? .....
- .....

**2.8 FINANCIAL AND SUPPORTING INFORMATION** – Please supply copies of the following information, ticking the appropriate box to indicate their enclosure. This should be based on existing contracts and/or the level of contract being sought by the applicant.

**A Cumulative value of LSC contracts to £25,000**

- Please supply a full copy of the previous year's audited financial statements. Where you are not required to have audited financial statements, please supply accounts as submitted to the Inland Revenue, other regulatory body, or your bank – for the previous two years', or draft or anticipated financial statements for the current year if your organisation has been recently formed.

**B Cumulative value of LSC contracts £25,000 to £250,000**

- Please supply a full copy of your last two years' audited financial statements, or draft or anticipated financial statements for the current year if your organisation has been recently formed
- Please supply your business plan for the coming year
- Please supply a copy of your monthly rolling cash flow forecast for the coming year

**C Cumulative value of LSC contracts £250,000 to £1,000,000**

- Please supply a full copy of your last two years' audited financial statements
- Please supply your business plan including financial forecasts for the next three years
- Please supply a copy of your monthly rolling cash flow forecast for the coming year and a summary for the following two years

**D Cumulative value of LSC contracts over £1,000,000**

- Please supply a full copy of your last two years' audited financial statements
- Please supply copies of the external audit management letters/report to audit committee for the last two years
- Please supply your business plan including financial forecasts for the next three years

- Please supply a copy of your monthly rolling cash flow forecast for the coming year and a summary for the following two years
- All organisations that are required to appoint auditors of their annual financial statements should supply a copy of the full audit report on the most recent financial statements. Organisations not required to appoint auditors of their financial statements should provide a fully copy of an independent accountant's report, if available.

**Please ensure that the audited financial statements submitted are for the applicant, and are not in respect of a parent company, group or other organisation. Failure to submit the correct financial information will delay your application.**

- Please supply a statement signed by a Director, Partner or Proprietor of the organisation, to the effect that there are no legal proceedings (including bankruptcy or winding up petitions) in progress that might affect the performance of contract obligations and that the organisation has not been prosecuted under EC or national law in the last three years. If this undertaking cannot be given, then details of any legal proceedings / prosecutions, including their outcome, should be provided.
- Please supply a statement signed by a Director, Partner or Proprietor of the organisation giving details of:
  - i. any associated organisations (along with the nature of the relationship) or a statement that the organisation is not associated with any other organisations. **(Additionally, please also identify and forward the information requested in this section for any parent/ultimate holding company.)**
  - ii. any mortgages and/or charges against the assets of the organisation and any guarantees in favour of and/or issued by the organisation, together with details of any other contingent liabilities detailing the circumstances under which they may crystallise. If there are no mortgages, charges or guarantees this fact should be stated.
  - iii. where the organisation is part of a group, a statement is required of the support that will be offered by other group companies for the delivery of the contract. An authorised person within the parent or other organisation must sign the statement. Where cross group guarantees are in place, please provide the appropriate financial statements to confirm the financial stability of the organisation providing the guarantee, together with consolidated group accounts, where appropriate.
  - iv. the type and level of funding that was provided to enable your organisation to commence trading, including details on whether funds from any public sector bodies were used in the setting up process.
  - v. any financial support, **not in the normal course of its trading activities**, which your organisation receives from any public sector bodies. If so, please provide full details on the type of support provided and the nature of the public sector body involved.
- Please provide a signed statement stating that the LSC may approach your bank for the purpose of obtaining a reference.

Please state your bank's  
address.....

.....  
.....  
In addition to reviewing the financial information submitted to us, we may wish to carry out a short review of your financial management arrangements prior to a decision on whether to award a contract. If such a review is required you will be notified and a mutually convenient date agreed. The results of this review will inform our decision making process.

### 3 Legislative/Contractual requirements

1 Can you confirm you have in place suitable and sufficient insurance in respect to learners (employers' liability, public liability, fidelity and other e.g. driving) and as legally required (professional indemnity)?

Type.....

Amount.....

2 Have you ever been prosecuted under health and safety legislation or been served prohibition or improvement notices by the enforcing authority? (if **Yes**, please provide details.) **Yes**  **No**

.....  
.....  
.....

3 Are you aware of, and complying with relevant health and safety legislation? **Yes**  **No**

## 4 About your provision

**4.1 DELIVERY STRATEGY.** – It is the LSC’s intention to reduce the length of contracting chains by contracting directly with suppliers unless there is a clear market demand for, and added value in, engaging an agent. Please state which of the following delivery strategies you would use and in what circumstances.

- Direct Delivery** – i.e. Delivery all elements of a contract yourself, without contracting any such elements to other organisations.
- Act as a Managing Agent** – i.e. Manage but not deliver provision by subcontracting all of the elements of a contract to other organisation(s).
- Act as a Managing Provider** – i.e. Deliver the majority of the elements of a contract yourself but contract some element to other organisation(s).
- Work collaboratively** with other organisation(s) as a Partnership or Consortium.

## 5 Conditions

It is a condition of acceptance by the LSC that you confirm the following statements:

- > This organisation is capable of discharging services to the standards expected of the LSC.
  
- > This organisation is not in any state of bankruptcy, insolvency, compulsory winding up, administration, receivership, composition with creditors or any analogous state of relevant proceedings. The applicant undertakes to notify the LSC if any of the below states apply.
  - > Any convictions for a criminal offence committed by the tenderer (or being a company, by its officers or any representatives of the company).
  - > Any acts of grave misconduct committed by the tenderer (or being a company, by its officers or any representative of the company) in the course of their business or profession/the company's business.
  - > Any failure by the tenderer (or being a company, by its officers or any representative of the company) to fulfil their obligations relating to payment of Social Security contributions.
  - > Any failure by the tenderer (or being a company, by its officers or any representative of the company) to fulfil their obligations relating to payment of taxes.
  - > The absence of insurance covering any aspect of the tenderer's business and the failure to implement robust arrangements for health and safety and equal opportunities.

**6 Declaration**

I hereby confirm the information supplied in this Part C is correct and I undertake to inform immediately the LSC of any changes. I understand that if any of the information contained herein is incorrect or false this may result in criminal or civil proceedings.

**Signed:** .....

**On behalf of:** .....

**Position in Company::** .....

**Date:** .....

## Section 4 – Declaration

- 1.1 I/We the undersigned have read the Application documents for the **Train to Gain** Training Services and subject to and upon the terms and conditions contained in the said documents, I/We offer to supply the services as described (to the extent which the Principal in accordance with his powers may determine in accepting this application) in accordance with the Proposal.
- 1.2 Terms and Conditions I/We agree that this application and any contract which may result from it shall be based upon the Application documents including the terms and conditions specified therein. Any terms, conditions or general reservations printed on any correspondence from me/us shall not be applicable to this application or any contract resulting from it.
- 1.3 I/We agree that any contract that may result from this application shall be subject to ENGLISH LAW.
- 1.4 This Application shall remain open for acceptance until further notice.
- 1.5 I/We certify this is a Bona Fide Application. I/We also warrant that I/We have not done any of the following acts:
  - a) entered into any agreement or arrangement with any other person so that they shall refrain from applying, or as to the amount of any application to be submitted
  - b) offered, paid, given, or agreed to pay or giving consideration directly to any person for having done, or for doing or caused to have done or for doing in relation to another application or proposed application for the said work any act or thing of the sort described above
  - c) I confirm that I am not aware of any conflict of interest or any circumstances that could give rise to a conflict of interest
  - d) I confirm that I am not aware of any grounds under Regulation 23 of the Public Contracts Regulations (2006 Regulation 23] that may deem this application ineligible
- 1.6 Public Contracts Regulations 2006
  - 1.6.1 **Regulation 23** of the above sets out the grounds on which a supplier may be deemed ineligible to apply for, or be awarded a public contract.
  - 1.6.2 Rejection is permissible when a service provider:
    - Is in a state of bankruptcy, insolvency, compulsory winding up, administration, receivership, composition with creditors or any analogous state, or subject to relevant proceedings
    - Has been convicted of a criminal offence related to business or professional conduct
    - Has committed an act of grave misconduct in the course of business
    - Has not fulfilled obligations relating to payment of social security contributions
    - Has not fulfilled obligations relating to payment of taxes
    - Is guilty of serious misrepresentation in supplying information required by the Authority under the Regulations

- Is not in possession of a licence or not a member of the appropriate organisation where the law of the State requires

1.6.3 The Council requires all applicants to make full and frank disclosure of any such grounds and to sign the undertaking and formal offer. The full Statutory Instrument can be viewed on [www.hms0.gov.uk](http://www.hms0.gov.uk)

1.7 Application

1.7.2 I/We understand that the Authority may accept all or part of my/our application and that the Authority is under no obligation to accept any application either in whole or in part

Signed.....Name .....

In the capacity of ..... duly authorised to sign tenders for and  
On behalf of (IN BLOCK CAPITALS)

Postal address .....

Telephone Number.....

Facsimile Number .....

Email address .....

Date.....