

NORTH WEST



Leading learning and skills

APPLICATION TO ACCESS APPRENTICESHIP REGIONAL RESPONSE FUNDS

2. APPLICATION FORM

**(FOR PROVIDERS WHO DO NOT HOLD AN APPRENTICESHIP
CONTRACT)**

Application Documentation – for providers who do not hold an Apprenticeship Contract

Please complete all sections in full unless otherwise stated.

A. Organisational Capacity

- Organisation and legal entity details
- Contact details
- Status as LSC funded provider
- Technical capacity to deliver
- Activity Summary and Delivery Arrangements
- Management Arrangements
- Complementing Other Activity
- Track Record

B. Employer Details

- Employer Information

C. Technical Details

- References
- Health & safety Questionnaire
- Equality and Diversity Questionnaire
- Quality: Service Delivery Questionnaire

D. To be completed only by providers who do not currently hold any LSC contracts

- Background information
- Financial and legal information
- Legislative requirements
- Information about your provision
- Conditions

E. Declaration – to be completed by all applicants.

PART A – Organisational Capacity

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	

3 LSC provider status

3.1 If your organisation is currently funded, or has been funded during the past **three years**, by the LSC, please complete the table below.

3.2 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):		
UKPRN Number (Registered from UKRLP)		

3.3 Please use the box below to indicate whether your organisation of has applied to deliver Apprenticeships before.

Region	Date of application	Outcome (successful/unsuccessful)

4 Technical capacity to provide Apprenticeship training provision.

- 4.1 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. Where relevant please include inspection grades for Leadership and Management and any provision for which you are requesting funding*

Please note 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 for which they wish to use Apprenticeship funding.*

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

- 4.2 If your organisation has **not** delivered training and qualifications (particularly around delivering a Technical Certificate or Key Skills) to employers and employees as required by the Apprenticeship programme, 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 the full Apprenticeship with accredited staff.

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

5 ACTIVITY SUMMARY AND DELIVERY ARRANGEMENTS –

5.1 Criterion: Demonstrate an understanding of the target group and their needs.

Tip: *This section must clearly identify which target groups will be supported through the activity you are proposing to deliver.*

- Describe which age groups you are targeting, whether the provision is employer-led or programme-led and in which framework areas you plan to deliver. Ensure your response reflects the differing requirements for each of the target groups you are proposing to support. Your offer must be entered on the spreadsheet attached.
- Set out the target group for your proposal and what their needs are, making reference to any specific characteristics that your target group may have and specifying how your proposed activities have been designed to meet those needs.
- Briefly describe any other / additional provision proposed (e.g. non-mandatory technical certificates, other sector-specific qualifications which add value to the learner), providing evidence of any additional known demand over and above that highlighted in the Application. When describing the needs of the target group refer to any documents that identify these needs and quote them in this section.

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

5.2 Engaging and Meeting the Needs of Eligible Target Groups

Criterion: Demonstrate how the proposed activity will engage with and meet the needs of the target group.

Tip: *In responding to this criterion you must explain how you will engage with, recruit and retain individuals and how you will work with employers and other partners to ensure the needs of the client group are met.*

- Explain how you will recruit learners to your provision and how the provision will be marketed, what types of individuals you aim to recruit and how this will be achieved.
- Describe how your recruitment practices will address the mix and balance of recruits in relation to any specific equality and diversity issues.
- Name organisations from which potential learners will be signposted or more formally referred, explaining what existing links you have with appropriate ESF funded activity, E2E and LAP (pilot areas only) provision, or how they will be developed, and how these links will be utilised in practice. Describe how potential learners will be assessed to ascertain their suitability for your provision and which organisations will be involved.
- Where you propose to provide progression opportunities into Apprenticeships from other provision, explain how you will identify appropriate learners and what additional support will be given to learners to ensure a successful transition into Apprenticeships.
- Explain how you will tailor the assessment process to reflect employer requirements and explain what will happen to those potential learners for whom the assessment indicates that your provision is not appropriate.
- Identify how you will ensure your participants will progress into further learning (where relevant). Describe what advice, guidance and mentoring services you will provide to learners to inform their progression choices and who will deliver this activity.
- Explain what on-going support you will provide to completers, and who will deliver this activity.
- Identify how you will ensure that participants (individuals and/or employers) are eligible for support.

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

5.3 Employer Needs and Understanding of the Local Economy

Criterion: Demonstrate how the activities proposed will respond to the needs of employers and the local economy.

Tip: Demonstrate how the activities you are proposing to deliver will respond to the needs of the employer and known skills shortages. :

Please limit your response to a maximum of 300 words.

5.4 Responding to Strategies and Plans

Criterion: Demonstrate how the activities will add value and complement relevant strategies, plans, frameworks and policy initiatives.

Tip: Identify the strategies, plans, frameworks, policy initiatives and other programmes which are relevant to your proposed activities. Identify how your proposed activity will complement and add value to these. Please ensure that as a minimum you specifically identify how your proposal will link into Skills for Jobs, Train to Gain and Entry to Employment.

Please limit your response to a maximum of 300 words.

5.5 Partnership Working

Criterion: Describe the added value of partnership working and what this feature will bring to your proposal.

Tip: *Requests for funding may be made by one organisation acting on behalf of a number of sub-contractors.*

Please use this section to:

- Identify whether the activities will be delivered by a partnership. If it is not anticipated that partners will be involved, then explain why this is the case and provide justification that this will not inhibit the success of the activity in any way.
- Briefly outline your role as lead contractor.
- Demonstrate how the partnership will support and facilitate the progression of individuals. Ensure you name all organisations involved in referral, programme delivery and progression.
- Name your active partners including Connexions, SSCs (sector skills councils), SSPAs (sector skills productivity alliances) and employer groups; and explain their role and responsibilities in planning, delivery or evaluation.
- If potential subcontract relationships are not fully established, identify which organisations will be expected / invited to participate in proposed activities, and how you will secure their commitment and / or involvement.
- Please describe the extent to which currently unsecured partner involvement is required, and highlight where reduced or lack of involvement might place the proposed activities at risk.
- Please note the LSC reserve the right to contact all named Partners in this section.

Please limit your response to a maximum of 500 words.

Are the proposed activities being delivered by use of subcontractors? Yes
 No

Role of the lead organisation

Partner/Sub-contractor 1

Name of Partner/Sub-contractor:

Please identify the approximate number of Apprenticeship starts:

Is this organisation an active partner in the proposed activities at the point of Application?

Yes
 No

Is this organisation a sub-contractor?

Yes
 No

Roles and Responsibilities: (Max character limit = 250)

Partner/Sub-contractor 2

Name of Partner/Sub-contractor:

Please identify the approximate number of Apprenticeship starts:

Is this organisation an active partner in the proposed activities at the point of Application?

Yes
 No

Is this organisation a sub-contractor?

Yes
 No

Roles and Responsibilities: (Max character limit = 250)

Partner/Sub-contractor 3

Name of Partner/Sub-contractor:

Please identify the approximate number of Apprenticeship starts:

Is this organisation an active partner in the proposed activities at the point of Application?

Yes

No

Is this organisation a sub-contractor?

Yes

No

Roles and Responsibilities: (Max character limit = 250)

Partner/Sub-contractor 4

Name of Partner/Sub-contractor:

Please identify the approximate number of Apprenticeship starts:

Is this organisation an active partner in the proposed activities at the point of Application?

Yes

No

Is this organisation a sub-contractor?

Yes

No

Roles and Responsibilities: (Max character limit = 250)

Please put details of additional Partners/Sub-contractors below.

6. MANAGEMENT ARRANGEMENTS

6.1 Delivery Mechanisms

Criterion: Describe the delivery mechanisms for the proposed activity and demonstrate that they are appropriate to the proposed target groups, sectors and geographic locations.

Tip: This section must demonstrate how the activity will be delivered. As a minimum please address the bullet points below.

- Describe how the different activities within your proposal will be developed, implemented, measured and evaluated and how these activities will together deliver the full learning offer.
- Describe the infrastructure for the delivery of your proposed activity in the proposed geographic location(s). If the lead organisation is based outside the LSC sub-region in which it is proposing to deliver activity, please set out here what the arrangements will be for managing and delivering the proposed activity.
- Describe how you plan to publicise and promote the programme.
- Provide details of any additional staff and resources which need to be secured, including any staff training needs. Where additional staffing is required please state what posts these will be and how you intend to recruit to them.

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

6.2 Delivery Mechanisms (Programme-Led Activity)

NOTE: THIS SECTION SHOULD ONLY BE COMPLETED IF YOU ARE PLANNING TO DELIVER PROGRAMME-LED APPRENTICESHIPS

Criterion: The proposed programme-led delivery mechanisms demonstrate that they are appropriate to the proposed target groups, sectors and geographic locations.

Tip: This section must demonstrate how the programme-led activity will be delivered. As a minimum please address the bullet points below.

- Describe how you have structured the programme to deliver the Technical Certificate and Key Skills .
- Explain how enrichment / other qualifications / industrial experience will be incorporated into the programme and what bearing these activities will have on the success of the programme.
- Describe the arrangements for ensuring flexibility within the programme to respond to any changes and variations in demand. State how the mix and balance of alternative pathways within the Framework will ensure alignment with the demand for Employed-status Apprenticeships.
- Explain why the targeted learners would be unable to access Employer-Led Apprenticeships. Describe what advice, guidance and mentoring services you will provide to learners to inform their progression choices and who will deliver this activity.
- Explain what ongoing support you will provide to programme-led completers, and who will deliver this activity.

Please limit your response to a maximum of 500 words.

7 COMPLEMENTING OTHER ACTIVITY

7.1 Ensuring Coherence With Other Activities Available for Target Groups in the Geographic Location

Criterion: Demonstrate how the identified activities will link to other activities available for the target groups in the proposed geographic locations.

Tip: The LSC aims to support activity that enhances and complements rather than duplicates existing provision. Therefore your response should:

- Give details of any complementary activity and highlight linkages between these and the activities you propose to deliver, describing how you will ensure that the provision operates to maximum mutual benefit, and how duplication will be avoided.
- Explain how your proposed activity will contribute towards workforce development.
- Identify how the activity will complement and link into existing LSC funded provision.
- Refer to recent or existing projects/provision, mainstream programmes or research projects.
- Explain how you have researched this issue and what other activity is taking place.
- Deliver creative ideas that are not already delivered;

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

8 TRACK RECORD

8.1 Track Record of Working in Geographic Locations

Criterion: Demonstrate that the organisations involved in delivering the proposed activity have a successful track record of working in the proposed geographic locations.

Tip: Indicate the lead organisation and/or any subcontractors' track-record of working in the proposed geographic location(s), specifically naming projects/provision.

- Specify what was delivered and the results achieved; include details of success rates, outputs and results targets and volumes delivered.
- If the proposal is to be delivered via a sub-contracting arrangement then please identify which organisations have the relevant experience.
- Please ensure that the examples relate to each relevant sub-region where appropriate.
- Applicants who do not have a track-record of working in the proposed location(s), must describe how they and their partners have worked in similar areas and explain how this experience will inform your work in the new location(s).

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

8.2 Track Record of Working with Identified Target Groups, Sectors and Employers

Criterion: Demonstrate that the organisations involved in delivering this activity have a successful track record of working with the proposed target groups, sectors and employers.

Tip: Indicate the lead organisation and/or subcontractors' track-record of working with and/or knowledge and understanding of the proposed target groups, sector(s) and employers, specifically naming projects/provision and employers they have worked with. If the proposal is to be delivered via a sub-contracting arrangement then please identify which organisations have the relevant experience. The response must:

- Indicate your experience of designing and delivering activity for the target groups.
- Provide evidence of previous success in engaging target groups (employers and/or individuals).
- Provide details including specific examples of engagement and retention strategies that have proved successful with the proposed target groups.
- Specify what the projects/provision originally intended to deliver and the results achieved
- Applicants who do not have a track-record of working with the proposed target groups, sectors and employers, must describe how they and their partners have worked with similar target groups, sectors and employers and explain how this experience will inform their work.
- Applicants should complete the spreadsheet attachment detailing their historic and forecast success rates.

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

PART B – Employer Details

1.1 Please provide details of the employer who has requested Apprenticeship provision from you as a provider.

**If there is more than one employer please complete one sheet per employer.
(Copy and paste this page into the end of the document)**

Company/Organisation Name	
Employer Sector	
Contact Name	
Address	
Telephone number	
Fax number	
Email address	

1.2 Total Apprenticeship Starts / Budgets Requested by provider.

Apprenticeship Framework	Apprenticeship		Advanced Apprenticeship		TOTAL COST
	starts	cost	starts	cost	

Part C – Technical Details

Previous experience and references

1.1 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:	
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b.	Address:	
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c.	Period of contract:	
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d.	Contact name, address (if different from above) and telephone number:	
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e.	Service provided:	
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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:	
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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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1.2

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

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

YES/NO

2

Health and Safety

a	LSC LEARNER HEALTH & SAFETY QUESTIONNAIRE - HSQ 1
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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'.

NAME AND ADDRESS OF ORGANISATION

GENERAL REQUIREMENTS		
1	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
2	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
3	Are you aware of, and complying with, relevant health and safety legislation?	YES / NO

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

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

PLANNING AND IMPLEMENTING GOOD HEALTH AND SAFETY		
11	Have you assessed the risks to the health and safety of your employees and learners?	YES / NO
12	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
13	Have you got effective control measures/precautions as a result of risk assessments?	YES / NO
14	Do you review risk assessments to take account of changes/accidents/incidents?	YES / NO
15	Do you have arrangements for ensuring safe plant and equipment and using PPE?	YES / NO
16	Do you have clear standards/procedures covering who does, what and when?	YES / NO

MEASURING YOUR PERFORMANCE		
17	Do you regularly check health and safety standards and conditions in practice?	YES / NO
18	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
19	Do managers monitor health and safety performance e.g. at management meetings?	YES / NO

REVIEWING AND AUDITING YOUR PERFORMANCE AND IMPROVEMENTS (inc self-assessment)		
20	Do you periodically audit your health and safety arrangements?	YES / NO
21	Do senior managers review performance, e.g. annually, and identify improvements?	YES / NO
22	Do you have an annual health and safety action/development plan?	YES / NO

23	Is there a commitment to continually raise health and safety standards?	YES / NO
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PROMOTING THE 'SAFE LEARNER'		
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24	Do you ensure learners receive effective information, instruction and training (inc induction)?	YES / NO
25	Do you evaluate the effectiveness of this information, instruction and training?	YES / NO
26	Do you ensure the effective supervision of learners?	YES / NO
27	Do you promote the concept of the 'safe learner'?	YES / NO

LEARNING IN SAFE, HEALTHY AND SUPPORTIVE ENVIRONMENTS		
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28	Do you have arrangements for ensuring, and monitoring, that learning takes place in safe, healthy and supportive environments?	YES / NO
29	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		
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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	
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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:

Equality and diversity

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



Leading learning and skills

QUALITY: Service delivery questionnaire

Your organisation's name:

INFORMATION TO SUPPORT
APPLICATION FOR APPRENTICESHIP
REGIONAL RESPONSE FUNDING

Background

The purpose of this stage of your application to become a provider of LSC-funded learning services is to assess that your organisation can deliver the service to the quality standards expected by the LSC and the Adult Learning Inspectorate.

Where questions request a description or details, please use a single side of A4 paper typed in font size 12. Where a question has more than one part you may use a separate sheet of A4 as above. *Please do not send us forms or procedures that you use.*

Completed forms should be returned with the Regional Response Fund Application Form to

Contracts Team - Apprenticeships
Learning and Skills Council
8TH Floor
Arndale House, Arndale Centre
Manchester,
M4 3AQ

1 Services and clients

1.1 If you are proposing to deliver Care training:

- a) Please give details of any staff checks that are carried out, for example police checks, social services checks and indicate those that would be used for LSC funded provision.
- b) Are you registered with social services department(s)? YES/NO
- c) Have you been inspected under the Registered Homes Act 1984? YES/NO

3 Your organisation

- 3.1. Please attach details of previous relevant experience and staff qualifications relating to the service you will be providing. This should also include the numbers of:
- a) Teaching staff and assessors (including their subjects, qualifications and experience);
 - b) Staff with skills or expertise in supporting learners with learning difficulties and/or disabilities, including learners with specific learning difficulties;
 - c) Other staff who would actively support learners, for example, guidance staff, IT workshop staff, library and learning resource staff;
 - d) Additional staff (e.g. health & safety, finance, equal opportunities, ancillary, administrative, domestic, maintenance).

Please also show whether each member of staff is full or part-time.

- 3.2 Please confirm that you are accredited and possess approved centre status to deliver all qualifications and certificates directly relating to the tender specification. In doing so, please list the qualifications you offer and the organisation(s) you are registered with to be able to offer these qualifications (including the Date of Accreditation and the accompanying Centre Approval Number).
- 3.3 Please set out your arrangements for internal verification of qualifications you offer and also send us the report on your centre by the External Verifiers appointed by the Awarding Bodies.
- 3.4 Please provide details of any quality standards that your organisation holds or is working towards and details of membership of trade bodies.
- 3.5 Please describe your organisation's systems for the collection, backup, manipulation and transfer of performance/management information. Please include information about any ongoing development/modernisation of your systems and your facilities to transmit data electronically. Please also tell us about your registrations under the Data Protection Act.

4 Delivery arrangements

Some of the questions in this section are closely related. Please read them all before you commence answering any of them.

- 4.1 Please describe how you will deliver the training to ensure that learning takes place, commenting on:
- a) the suitability of your accommodation (or proposed accommodation);
 - b) the facilities and equipment that you have in place (or will acquire);
 - c) the balance between and method of delivery: classroom, workshop-based, self-directed, and job-based instruction and learning;
 - d) how underpinning knowledge will be provided and ensured;
 - e) provision of key skills
 - f) provision of basic skills
- 4.2 Please describe your arrangements for the following elements of the learning process:
- a) learner recruitment, selection, induction, guidance and support;
 - b) initial assessment and the identification of additional support needs;
 - c) setting individuals realistic learning objectives and targets;
 - d) induction of individuals into their programme of learning and their workplace;
 - e) effective learner attendance, support, achievement and review of progress;
 - f) the tracking of learners who leave your provision;
 - g) obtaining and analysing feedback from learners and employers (please also include a synopsis of your findings).
- 4.3 Please describe the support arrangements in place for learners, e.g. for literacy and numeracy, crèches, transport, etc.
- 4.4 Please outline your systems to:
- a) quality assure the design and delivery of training and learning;
 - b) use data to inform management decisions about your provision and the learning of individuals;

- c) undertake self-assessment using the Common Inspection Framework in conjunction with your staff and (if applicable) sub-contractors or partners;
 - d) plan the improvement of your provision, including how you set targets for your organisation's development and measure progress towards these targets.
- 4.5 Please describe the arrangements you have for engaging with businesses in your area and how you ensure that learning which takes place in the workplace integrates with other aspects of your provision. This should include
- a) vocational training in the workplace;
 - b) assessment in the workplace;
 - c) provision of Key Skills
 - d) the attainment of Technical Certificates
- 4.6 Please tell us about your sub-contractors and any other partners with which you are designing or delivering any part of your provision. Please make sure that this description includes what these sub-contractors or partners will be doing for you and why you have selected them to deliver these services to you and your clients. Also tell us how you will monitor and manage their contribution. If a sub-contractor delivers a significant element of the learning process, they may need to complete this questionnaire in their own right.
- 4.7 Please provide a complete set of grades from the following (if applicable) :-
- a) last Ofsted / ALI inspection report (including publication date)
 - b) current Self-Assessment Report –SAR (including period covered & confirmation of a supplementary Quality Improvement Plan – QIP)
 - c) latest Observation of Teaching & Learning profile

Completed by

Position in the Organisation

Date

Signature

PART D - Information from Applicants who do not hold any contract with the Council

a 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:

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a. Date it was set up:	
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b. Date it opened or started to provide services:	
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c. Name of owner, chief executive or director:	
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d. E-mail:	
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e. Name of daily contact:	
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f. E-mail:	
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g. Phone:	
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h. Fax:	
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i. VAT registration number:	
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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.

If you do not plan to deliver all the volumes under this contract yourself, please list below any other providers you intend to work with.

Provider name	Relationship e.g. partner, subcontractor etc.	Volumes to be delivered	Sector Subject Areas to be delivered

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:

E. Declaration – to be completed by all applicants

- 1.1 I/We the undersigned have read the Application documents for the Apprenticeship 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 31 December 2008.
- 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

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.....