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**Preparing for your Refresh application - Register of Apprenticeship Training Providers (RoATP)**

This document has been designed to help apprenticeship providers preparing for their application refresh for the main[[1]](#footnote-1) route of RoATP. The content is based on current published guidance [RoATP Application Guidance Digital May 2021](https://www.gov.uk/guidance/roatp-application-guidance-digital-may-2021?utm_medium=email&utm_campaign=govuk-notifications&utm_source=c1ff3fa4-1a59-47a5-9447-0d1b867a3710&utm_content=daily) (updated 11 June 2021)

It is being provided in good faith to support apprenticeship providers in their preparation of the key text-based questions and the required documentation for the refresh of RoATP application. It does not represent the full application requirements.

We think it could be helpful to use this document to prepare, draft and agree your responses ahead of completing the online digital application. Where appropriate, we have indicated the maximum words available as this is a text-only application for answers to questions – no diagrams.

*Good luck!*

**Support with your application**

SDN can review or help you write your RoATP application:

**Review / feedback on your application responses**

* Written hints and tips before you start writing
* Review all your responses, policies / documents and provide written feedback for improvements before submission

**Full refresh application - preparation and drafting**

* Get to know you and review your previous application
* Draft all written responses – and review / draft policies and procedures as necessary - ready for you to review
* Highlight areas for improvement in your delivery
* Hands-on support with the Digital Service and final peer review by SDN team

**Contact us for more details:** [**hello@strategicdevelopmentnetwork.co.uk**](mailto:hello@strategicdevelopmentnetwork.co.uk)

**Policies and documents checklist**

Documentation required for upload in the register application.

**Notes:**

All files must be PDF and smaller than 5MB.

All policies and processes must be specific to your organisation, apprentices and trainers. They must also be signed by a senior employee, for example: a director or CEO. ESFA will not accept policies or processes that are generic or taken from a third party.

\*Not required for providers with an Ofsted Apprenticeship grade of Good or Outstanding within last 3 years.

±Not required for providers in receipt of funding from OfS

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| **Policies and procedures** | **Application guidance** | **Status** |
| **Continuity plan for apprenticeship training\*±[[2]](#footnote-2)** | A continuity plan for apprenticeship training shows how your organisation will continue to deliver in case of a significant event. This must include how your organisation will:  - have different methods of communication  - manage transportation needs  - provide different operating locations (if needed)  - back-up relevant business systems  - back-up and restore data  - have a list of emergency contact numbers, ESFA must be listed  - include last review dates and how often the plan is reviewed  - support apprentices if you can no longer deliver training  - ensure ongoing access to apprentices’ learning resources and portfolios |  |
| **Equality and diversity policy\*±** | This must include how your organisation will:  - promote the policy  - get engagement towards the policy  - train its employees in implementing the policy  - consider the policy when recruiting, delivering apprenticeship training and working with employers and apprentices  - review the policy and how often (include the last review date). |  |
| **Safeguarding policy\*±** | This must include how your organisation will:  - promote the policy  - get commitment to the policy  - train its employees in implementing the policy  - protect its apprentices  - prevent abuse towards its apprentices  - have a way of raising, recording and investigating concerns  - have a way of apprentices getting support or guidance  - monitor its IT usage  - review the policy and how often (include the last review date) |  |
| **Prevent duty policy\*±** | This must include how your organisation will:  - promote the policy  - get commitment to the policy  - train employees in implementing the policy  - have a legal responsibility to fulfil the prevent duty statement  - protect apprentices and employees from radicalising influences  - ensure apprentices and employees are resilient to extreme narratives - identify changes in behaviour of apprentices and employees  - deal with any issues raised by apprentices or employees  - review the policy and how often (include the last review date) |  |
| **Health and safety policy\*±** | This must include how your organisation will:  - promote the policy  - get commitment to the policy  - train its employees in implementing the policy  - cover apprentices in its care  - have people who are responsible for health and safety  - identify and manage health and safety concerns  - have a procedure for accidents or ill health of apprentices  - review the policy and how often (include the last review date) |  |
| **Complaints policy, procedure and practice** | Policy must be published on your website and made available to apprentices and employers (the web link must be provided in the application).  This must include:  - what a complaint is  - how to raise a complaint  - how long it takes for a complaint to be resolved |  |
| **Professional development policy** | This must include how your organisation will continuously:  - improve its employees sector expertise, skills and performance  - improve its employees teaching and training knowledge, skills and performance  - improve its employees skills and performance  - ensure learning objectives are tailored to meet employee, customer and organisation needs - monitor employees professional development  It must also include your organisation’s vision for professional development of employees. |  |

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| **Other** | **Additional document uploads** | **Status** |
| **Financial accounts** | You are required to upload your organisation’s latest full financial statements covering a minimum of 12 months.  Financial statements must include a:  - balance sheet - showing the value of everything your organisation owns, owes and is owed on the last day of the financial year  - profit and loss account - showing your organisation’s sales, running costs and profit or loss it made over the financial year  - detailed notes about the accounts  - breakdown of creditors, other creditors and borrowings  If applicable, financial statements should be signed and filed with Companies House, the Charity Commission of England and Wales, Scottish Charities Regulator or other regulatory body.  Note: Financial statements must not be abbreviated, filleted or accounts for a micro entity. |  |
| **Commitment statement template** | Your organisation can use [ESFA’s commitment statement](https://www.gov.uk/government/publications/apprenticeship-commitment-statement-template), use one from a third party or create its own.  It must include:  - the planned content and schedule for training - what is expected and offered by the employer, the training organisation and the apprentice - a section for the employer, apprentice and training organisation to sign - how this will be communicated to users throughout their journey |  |
| **Contract for services template with employers** | A contract for services is a signed and dated written agreement between your organisation and an employer. The template must include a section for your organisation to add the services it will provide. |  |
| **Management hierarchy’s expectations for quality and high standards in apprenticeship training\*** | Your management hierarchy’s expectations may also be known as your organisation’s mission statement, vision statement or set of principles. |  |

**Text based questions**

**Guidance notes**

If you have had a full Ofsted inspection, within the last 3 years, with an apprenticeship grade of good or outstanding, questions 13, 14, 15, 18, 19 and 20/21 will not be required.

**Readiness to engage**

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| 1. **List the employers you have engaged with to deliver apprenticeship training to their employees?**   **275-word limit** |
| Insert your answer here: |

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| 1. **How will your organisation manage its relationship with employers?**   Your answer must include how your organisation will:   * continuously monitor and improve employer engagement * regularly review feedback from employers * manage concerns and issues raised by employers * manage communication with employers   **275-word limit** |
| Insert your answer here: |

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| 1. **How will your organisation promote apprenticeships to employers?**   For example, through find apprenticeship training, National Careers Services or other national branding  **150-word limit** |
| Insert your answer here: |

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| 1. **What is your organisation’s process for initial assessments to recognise prior learning?**   Your answer must include how your organisation will:   * review personal learning records * review relevant education (including training, qualifications and work experience already achieved) * identify and analyse skill gaps * use apprenticeships to address any skill gaps   [Find out more about initial assessments](https://www.gov.uk/government/publications/apprenticeships-recognition-of-prior-learning/apprenticeships-initial-assessment-to-recognise-prior-learning)  **275-word limit** |
| Insert your answer here: |

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| 1. **What is your organisation’s process to assess English and maths qualifications for apprentices?**   Your answer must include how your organisation will:   * review existing English and maths qualifications * measure these qualifications against entry level requirements for apprenticeships * identify and analyse any learning gaps * identify no further learning requirements for English and maths   **275-word limit** |
| Insert your answer here: |

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| 1. **How will you continue to deliver English and maths training and assessments if there’s a significant event?**   Your answer must include how your organisation will:   * continue to deliver training and assessments without delays * provide a different location, if needed * manage transportation needs * use different methods of communication * have a list of emergency contacts numbers, ESFA must be listed   **275-word limit** |
| Insert your answer here: |

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| 1. **If your organisation expects to use subcontractors in the first 12 months of joining the RoATP describe how will your organisation carry out due diligence on its subcontractors?**   Your answer must include how your organisation will:   * ensure extremist organisations are not funded * ensure its commitments to ESFA are maintained through subcontractor delivery * manage and monitor subcontractors to ensure they deliver high quality training * manage subcontracting agreements including capacity and capability risks * assess the financial health of its subcontractors   **275-word limit** |
| Insert your answer here: |

**Planning apprenticeship training**

NOTE: In the live application you will be asked if you deliver Standards, Frameworks or both. This template assumes only Standards are being delivered. If you deliver only Frameworks or Standards and Frameworks please refer to the guidance for the additional questions on this and your relationship with Awarding Bodies which you will need to complete.

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| 1. **Tell us how your organisation is ready to deliver training in apprenticeship standards**   You must include how your organisation has:   * commitment and approval from senior managers to deliver apprenticeship standards * a governance group in place to monitor delivery * an implementation plan specific to apprenticeship training * resources that support the delivery of apprenticeship standards   **275-word limit** |
| Insert your answer here: |

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| 1. **How will your organisation engage with end-point assessment organisations (EPAOs)?**   Your answer must include how your organisation will:   * find EPAOs for relevant apprenticeship standards * contact EPAOs * engage employers in the process of choosing an EPAO * confirm a contract or service agreement with EPAOs * engage EPAOs throughout the apprenticeship journey * ensure the EPAO is suitable, by including what information you will ask from them * ensure End Point Assessments are booked within the timescales published in [the apprenticeship funding rules](https://www.gov.uk/guidance/apprenticeship-funding-rules)   **275-word limit** |
| Insert your answer here: |

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| 1. **How will your organisation ensure apprentices are supported during their apprenticeship training?**   Your answer must include how your organisation will:   * have the right people in place to support apprentices * regularly check apprentice progress * actively seek and act on apprentice feedback to ensure the programme meets each apprentice's needs and informs continuous improvement that can be evidenced   **275-word limit** |
| Insert your answer here: |

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| 1. **You will be asked what is the typical ratio of the staff who deliver training to the apprentices?**   How does your proposed staff to learner ratio offer quality support to your apprentices?  Your answer must include how:   * you are making sure each apprentice is challenged * your delivery method is appropriate for your ratio * you deliver individual support based on your ratio * you would continue to deliver the same level of quality apprentice experience if your ratio changes * you agree on time spent on remote support vs face to face   **275-word limit** |
| Insert your answer here: |

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| 1. **How will your organisation ensure 20% off the job training is relevant to the specific apprenticeship being delivered?**   Your answer must include how your organisation will:   * use technical and theoretical elements of the apprenticeship to decide the best training method * ensure training methods suit the employers and apprentices circumstances * work with employers to define a delivery plan * ensure its delivery plan is flexible and meets employers and apprentices needs * choose the right time for off the job training - the apprentice must have had sufficient time to gain the right knowledge and skills before starting off the job training * get feedback from the apprentice and how it’s used   [Find out more about apprenticeship off the job training](https://www.gov.uk/government/publications/apprenticeships-off-the-job-training)  **750-word limit** |
| Insert your answer here: |

**Delivering apprenticeship training**

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| 1. **Tell us how these expectations for quality and high standards in apprenticeship training are monitored and evaluated**   Your answer must include how they’re:   * reviewed and monitored * reflected in developing and delivering apprenticeship training programmes * measured through key performance indicators for the outcomes of apprentices   **275-word limit** |
| Insert your answer here: |

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| 1. **How are these expectations for quality and high standards in apprenticeship training communicated to employees?**   Your answer must include how these expectations are:   * transparent and available to all employees * communicated throughout your organisation - for example through training or official policies * maintained and what feedback mechanisms your organisation has for Employees   **275-word limit** |
| Insert your answer here: |

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| 1. **How has the team/individual worked with employers and/or other organisations to develop and deliver training?**   Your answer must include how:   * training needs were identified * training was determined for the right solution * learning objectives were identified and measured * training was developed from learning objectives * learning objectives will be delivered to apprentices   **275-word limit** |
| Insert your answer here: |

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| 1. **Give an example of how your organisation used your professional development of employees policy to improve employee sector expertise**   Your answer must include how your organisation:   * ensures employee sector expertise is relevant to apprenticeship training * ensures employee expertise is up to date in relevant sectors * maintains employee expertise in relevant sectors - for example, through co-creation of apprenticeship programmes or mentoring * will continue to improve employee expertise, if your delivery sector changes   **275-word limit** |
| Insert your answer here: |

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| 1. **Give an example of how your organisation used your professional development of employees policy to maintain employee teaching and training knowledge**   Your answer must include how your organisation:   * ensured employee’s teaching and training knowledge, skills and performance was kept relevant to apprenticeship training * used teaching and training bodies to ensure employee expertise was up to date * worked with teaching and training bodies to ensure employee expertise is maintained - for example, through co-creation of apprenticeship programmes or mentoring * will continue to improve teaching and training knowledge, if your delivery sector changes   **275-word limit** |
| Insert your answer here: |

**Evaluating apprenticeship training**

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| 1. **What is your organisation’s process for evaluating the quality of training delivered?**   Your answer must include how your organisation:   * responds and acts on feedback from employers and learners * continuously improves training * identifies and addresses poor training outcomes * uses key performance indicators to measure the quality of training   **275-word limit** |
| Insert your answer here: |

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| 1. **How has your organisation made improvements using its process for evaluating the quality of training delivered?**   Give us an example including:   * how an issue was identified * what improvements were made * who was involved in implementing the improvements? * the overall outcome * how success was measured the impact on apprentices   **275-word limit** |
| Insert your answer here: |

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| NOTE: You will be asked if your process for evaluating the quality of training delivered includes apprenticeship training answer question 20, if not go to question 21? |
| 1. **How will your organisation review its process for evaluating the quality of training delivered?**   Your answer must include how your organisation will:   * regularly review the process - for example, quarterly or yearly * identify gaps and make improvements to the process * ensure quality is maintained throughout the process   **275-word limit** |
| Insert your answer here: |

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| 1. **How will your organisation evaluate the quality of apprenticeship training?**   Your answer must include how your organisation will:   * Respond and act on feedback from employers and apprentices * Continuously improve apprenticeship training * Identify and address poor apprenticeship training   You will also need to include any systems or processes your organisation will use to assess the quality of apprenticeship training.  **275-word limit** |
| Insert your answer here: |

1. If you are applying as a supporting provider or an employer provider, the application requirements will be reduced. This also applies to a provider with a recent good or outstanding apprenticeship Ofsted grade or a provider who is OfS funded. [↑](#footnote-ref-1)
2. \*Not required for providers with an Ofsted Apprenticeship grade of Good or Outstanding within last 3 years.

   ±Not required for providers in receipt of funding from OfS [↑](#footnote-ref-2)