

Financial Health Self Assessment Toolkit v3

This toolkit is designed for completion alongside your application to the Register and will assist you with the financial health section of our online questionnaire. Please ensure that you read all questions fully and refer to the guidance at every stage. We would bring to your attention that there are multiple pages within this workbook. It is your responsibility to ensure that your application is fully completed and compliant with our requirements.

Please find below links to on line guidance - please read prior to completion of this toolkit. Please also refer to the guidance for completing the self-assessment toolkit document. There are also references to specific parts of the guidance during this toolkit.

[Register - Read Me Instruction Guidance](#)

[Financial Health Assessment Guidance](#)

[Additional Financial Information Guidance](#)

[SFA: register of training organisations - GOV.UK](#)

The information needed to calculate the financial health of an organisation is taken from the latest available financial statements (or accounts) which every non-college organisation has to submit to the Skills Funding Agency (SFA) in line with the requirements of the SFA's Register of Training Organisations. Please ensure that you also submit your financial statements in addition to completing this toolkit.

Financial statements submitted must be full accounts (not abbreviated) and audited, if appropriate. Organisations must make sure that they supply the full accounts, not just an extract or selected pages.

Please note that no additional information will be requested from you once you have submitted your application. If you do not submit the correct full financial information for the applicant and its parent company (if applicable), or do not meet the requirements of our guidance then you will fail in your application.

Please complete the form in order and ensure that every question is answered to the best of your knowledge.

1) Can you confirm your organisation is a legal entity?

☐

2) Is your organisation included on the UK Register of Learning Providers (UKRLP) and has a valid UK Provider Reference Number (UKPRN)

☐

[UKRLP](#)

If you answered no to either of the above two questions, before proceeding please ensure that you are eligible to apply for the register

Organisation Details

If you require clarification before completion of the data below, links to external websites have been provided

3) Full legal name of the organisation applying as per Companies House and/or your financial statements

4) Trading name (if applicable)

5) UKPRN

[UKRLP](#)

7) Companies Number

[Companies House](#)

6) UPIN (if you are an existing provider with the SFA)

8) Charities Number

[Charity Commission](#)

9) Do you currently hold a direct contract with the SFA for the delivery of education and training?

☐

If yes, please do not submit your financial statements through the ROTO application but please do submit them to the SFA through your Central Delivery Service Adviser.

Exemption

There may be a very small number of applications where financial statements are not required due to the organisation meeting strict exemption criteria, these will all require reviewing by the SFA to confirm this status. Please remember to check the exemption form, where applicable, to ensure that the correct information has transferred through.

10) Do you consider yourself to be exempt from the financial health assessment process?

☐

11) Does your organisation fall into one of the following criteria (please select one only):

A College (GFE) currently receiving funding from the Skills Funding Agency

☐

A central Government Department, executive agency or non departmental public body

☐

Local authority, including LEA schools

☐

Academies, Free schools or Sixth Forms
NHS Trust or fire authority
A University monitored and supported by HEFCE
Major national charity or voluntary organisation with a turnover in excess of £100M and where SFA funding is less than 5% of the organisations turnover
Established PLCs with turnover in excess of £100M and where SFA funding is less than 5% of the organisations turnover

Please insert web address here if applicable

If you answer **yes** to any one of the above, please complete the exemption form, and also submit your full financial statements if you are not currently on the Register. You do not need to proceed further with completion of this toolkit.

www.gov.uk/government/publications/sfa-register-additional-financial-information

Please note: The SFA will seek to confirm whether you have correctly applied for exemption status. The criteria for exemption is clearly detailed within the Financial Health Assessment of non-college Organisations, and also the Register of Training Organisations - Read Me First Instruction Document. If we find that you do not meet the exemption requirements, and you have not jointly submitted your financial statements with the exemption form, you will fail the application process.

Financial Submission Data

Before completing this section please read the financial health assessment of Non-College organisations guidance documents, along with the Register of Training Organisations - Read Me First Instruction Document.
Failure to submit all the required financial information will result in you being awarded an inadequate grade in your assessment due to insufficient information being submitted.

12) Have you previously submitted your latest set of financial statements as part of a ROTO round and passed?

13) Does the financial information you are submitting reflect the legal entity making the application?
Please note: If you do not submit financial information for the applicant you will fail

14) Are you submitting the latest set of financial statements?

If yes, have these been submitted to Companies House and/or the Charities Commission?

If no, please complete the rest of this section.

15) If you are unable to submit your latest set of financial statements, please select one of the following reasons:

a) You are a sole trader or partnership
- we require your full accounts including, as a minimum, profit and loss account, balance sheet and notes to the accounts

b) You have not traded for a significant period to produce financial statements

c) You are a new business and are yet to commence trading

If your organisation falls into either b or c above, you are required to submit the information listed below.

12 month forecast Profit and Loss Account
End of period Balance Sheet forecast
12 month rolling cash flow forecast
Narrative supporting assumptions made
Management accounts to date to support any actual trading activity which must include Profit and Loss account, Balance sheet, cashflow forecast and narrative.

Parent Companies

If you are part of a wider company group you must provide the latest financial statements of the Ultimate UK Parent company as well as your own full financial statements. If your ultimate parent company is registered outside of the UK, you are required to provide the accounts for your UK parent company.
Failure to supply this information will result in you being awarded an inadequate grading during the assessment and failing the application process.

| | |
|--|--------------------------|
| 16) Does your organisation have a parent company? | <input type="checkbox"/> |
| 17) Is the ultimate parent company outside of the UK? | <input type="checkbox"/> |
| If yes, then you must supply accounts for your UK parent Company | |
| 18) Does your parent company produce consolidated accounts? | <input type="checkbox"/> |
| If no, then you must supply the financial statements of your non-dormant subsidiaries. | |

Guarantee Forms

You may wish to supply a guarantee from a parent company or director(s) to support your application. This does not replace your requirement to submit your financial information and complete this toolkit. The guarantee form can be found in a subsequent tab

| | |
|--|--------------------------|
| 19) Are you submitting a parental or directors guarantee with your financial statements? | <input type="checkbox"/> |
|--|--------------------------|

Please proceed to the financial information tab next