

INFORMATION AND DOCUMENTS REVIEW
APPLICANT FOR REGISTRATION OF RESPONSIBLE PROVIDER FOR:

Regulations 3 and 4 and Schedules 1 to 8 of The Regulation and Improvement Authority (Registration) Regulations (Northern Ireland) 2005 specify the information and documents that are to be provided by an applicant for registration.

The application form indicates the requirements.

For ease of reference the requirements relating specifically to financial and business matters are drawn together in the check list below:

Item	Regulation	What the regulations say	Further explanation	Yes/No/N-A
1.	Sched. 3 - 5;	Details of any business the applicant carries on or manages or has carried on or managed.	This is a statement from you which details of all your past business activities.	
2.	Sched. 1 - 4. (a); Sched. 2 - 8.	A reference from a bank expressing an opinion as to the applicant's financial standing; Except where an applicant is a HSS Board or Trust	This is a reference from your bank advising RQIA of whether they think you are a reliable customer.	
3.	Sched. 1 - 4. (b);	A statement as to whether the responsible person has been adjudged bankrupt, or sequestration of his estate has been ordered, or he has made a composition or arrangement with, or granted a trust deed for, his creditors.	This is a statement from you stating whether you have ever been declared bankrupt, or if your estate has been placed in receivership.	
4.	Sched. 1 - 4. (d);	A business plan in respect of the establishment or agency.	This should include forecast income and expenditure and profit and loss A/cs for two years. Your Accountant should be able to help you with this. (You don't need this if you can provide accounts for your business).	
5.	Sched. 1 - 4. (e);	Details as to cash-flow in respect of the establishment or agency.	Again your Accountant may be able to help you to provide a cash-flow statement. (You don't need this if you can provide accounts for your business).	

6.	Sched. 2 - 5;	Where the applicant is a corporate body, a copy of its last two annual reports.	If you are a limited company and have produced Annual Reports including accounts, please send us reports for the last two years.	
7.	Sched. 8 - 2;	Where the registered person is an organisation - (a) the address of the registered office or principal office of the organisation; (b) the full names, dates of birth and addresses of any individual who is a director, manager, secretary or other officer of an organisation and is responsible for supervising the management of the establishment or agency.	Please provide this information to allow us to identify those in the organisation who control the business.	
8.	Sched. 2 - 6;	Where the organisation is a subsidiary of a holding company, the name and address of the registered or principal office and the last two annual reports (if any) of the holding company and of any other subsidiary of that holding company.	If you are applying as a subsidiary organisation of another business we need the Annual Report and Accounts of the ultimate holding company and all its subsidiaries for the past two years.	
9.	Sched. 2 - 7;	The last annual accounts (if any) of the establishment or agency.	For an existing business that is not a limited company, please provide your last two years accounts.	
10.	Sched. 1 - 4. (c);	A statement as to the applicant's ability to ensure the financial viability of the establishment or agency for the purpose of achieving the aims and objectives set out in its statement of purpose.	You can provide a statement yourself giving an assurance on the current & future arrangements for funding the business. Your bank manager or accountant may help you with this.	
11.	Sched. 2 - 9;	A certificate of insurance for the applicant in respect of liability which may be incurred by him in relation to the establishment or agency in respect of death, injury, public liability, damage or other loss.	Please send a copy of your insurance policy document giving schedule of cover provided.	

N.B. You may find it helpful to discuss these requirements with your Bank Manager or Accountant. A reason should be given for the non-submission of an item.