

**APPENDIX A**

**INFORMATION WE NEED TO VALIDATE YOUR APPLICATION FOR A SPONSOR LICENCE.**

We will always need to gather evidence to support and validate your application. In most cases we will need to check and validate a minimum of four pieces of information about you. This will usually involve you having to send us some documents, but in some circumstances we may be able to do an online check instead of asking you for a document. There is certain information that we must be able to check before we can make a decision on your application. This will be based upon:

- what kind of organisation you are;
- which tiers and categories you are applying for.

The following tables list all of the information we will need to check and tell you whether you need to send a document. The easiest way to work out which documents you need to send is to work your way through each of the following tables starting with Table 1.

**Table 1** sets out some limited circumstances when you do not have to send four documents. If you are listed in this table you need only send the documents described and in some cases you may not need to send any documents at all. **If you are not listed in Table 1, you should then look at Table 2.**

**Table 2** sets out all the documents which you must send (we describe these as ‘mandatory’) based on the kind of organisation you are. It also sets out some other documents we will accept from you in addition to those which are mandatory. **Once you have identified any documents in Table 2 that you must send us, you should then look at to table 3.**

**Table 3** sets out all of the documents which are mandatory based on the Tier/category you are applying for. **After you have looked at Tables 1, 2 and 3, if you haven’t identified four documents to send to us, you must then look at table 4 which lists all of the other documents we will accept to make your total up to four documents.**

**Table 4** sets out all other documents you can send if you still need to make your total number of documents up to a minimum of four. You must make sure you have read the full guidance for sponsors before you submit your application. There are some examples in section 8 of Part 1 which explain how to put together the right documents to send to us to validate your application. The full guidance is available on our pages on the GOV.UK website at [www.gov.uk/government/collections/sponsorship-information-for-employers-and-educators](http://www.gov.uk/government/collections/sponsorship-information-for-employers-and-educators)

Any documents you send to us must be originals or certified copies. Printouts of PDF files are copies of an original document and must be certified in line with the guidelines below. The certifier must confirm that they have seen the original e-mail containing the PDF document.

## **Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**

### **Appendix A**

A certified copy is one that includes a signed statement, either by the issuing authority or by a practicing barrister, solicitor or notary. The certifier must confirm that it is an accurate copy of the original document. Please note that for certified copies, each page of a document submitted must be certified, clearly detailing the certifier's name, signature and the organisation he/she represents. Sometimes, when a document has more than one page, the certifier does not want to certify every page. We will accept the document if the pages are all attached together (such as stapling) and the top page is certified as described. The certification must also clearly state how many pages have been certified. If a certifier's details cannot be verified, the document will be rejected.

Once you have submitted your online application, you must send the following to validate it.

- the original submission sheet (not a certified copy), signed and dated by the authorising officer (all pages must be sent)
- all of the mandatory documents listed on the submission sheet (originals or certified copies).

**These must all be sent in together within five working days of the date you submit your online application.**

You must send all of the above items together for your application to be valid. If any of the items are missing or incorrect, your application will be invalid. Invalid applications will be rejected and the application fee refunded. If there are any documents specified in Appendix A other than mandatory documents missing from your application, or if we require any additional documents, we will contact you by email. We will give you seven calendar days to send those documents to us. If you do not send them to us within seven calendar days we will refuse your application and your fee will not be refunded.

As you work through the tables, you may find that we could do an online check but will need some help from you to locate the relevant web page. If this is the case, you must send us a covering letter giving the address of the website where the information can be found. For example if you are a care home in England you must provide evidence of your registration with the Care Quality Commission. If that registration is in a different name to the one you have given on your licence application, you will need to tell us what name you are registered under with the CQC and you can do this by enclosing a covering letter with your submission sheet and any other documents you send to us. We will then be able to look you up on the CQC's website.

**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 1**

If you are a <b>Public Body</b> that appears on the list of Public Bodies 2013 data directory published on the Cabinet Office website at <a href="http://www.gov.uk/government/publications/public-bodies-2013">www.gov.uk/government/publications/public-bodies-2013</a>	<b>you do not need to send us any documents.</b>
If you are a <b>Public Body</b> that does not appear on the list of Public Bodies 2013 data directory published on the Cabinet Office website at <a href="http://www.gov.uk/government/publications/public-bodies-2013">www.gov.uk/government/publications/public-bodies-2013</a>	You <b>must</b> send us <b>either</b> documentary evidence from your sponsoring government department which clearly says you are a public body, <b>or</b> if your details are published on your sponsoring department's website, a covering letter giving the name of your sponsoring department so that we can do an online check.
If you are a <b>Government Department</b>	<b>you do not need to send us any documents.</b>
If you are a <b>Local Authority</b> and your website can be accessed via the GOV.UK search facility at <a href="http://www.gov.uk/find-your-local-council">www.gov.uk/find-your-local-council</a>	<b>you do not need to send us any documents.</b>
If you are <ul style="list-style-type: none"> <li>• an <b>overseas Government</b> or</li> <li>• a <b>Diplomatic Mission</b> or</li> </ul> an <b>International Organisation</b> whose employees qualify for exempt entry clearance as listed on our website at <a href="http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/257790/exempt-organisations-list.pdf">www.gov.uk/government/uploads/system/uploads/attachment_data/file/257790/exempt-organisations-list.pdf</a>	you only need to send a <b>letter as described in Section 1 of this guidance.</b>
If you are <b>listed on the London stock exchange (main market)</b>	<b>We will check your listing online and you do not need to send us any documents unless there are documents in Table 2 or Table 3 that apply to you.</b>
If you are a <b>private individual</b>	You can only apply for Tier 5 (International Agreement). You <b>must provide</b> evidence to show that you have awarded a services contract for a period of 12 months or less, through an open tendering (or other procedure) which guarantees the bona fide character of the contract under an international trade agreement, as described in this guidance. <b>This is the only evidence you need to send to us.</b>

**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance  
Appendix A**

**Table 2**

<p><b>Start-ups.</b> If you have been operating/trading in the UK for less than 18 months on the date you make your application, the checks we will make are different to those we carry out on more established businesses.</p>	<p>You <b>must</b> send us evidence that you have a current, corporate bank account with a bank registered by the Financial Conduct Authority in the UK.</p> <p>You <b>must also send</b> any mandatory information set out in Table 3.</p> <p>Remember, we must be able to check four different pieces of information about you and we realise that start-ups may not be able to provide certain documents that more established businesses can provide which are listed in Table 4. If you are unable to put 4 documents together from Tables 1-3, <b>you can also send</b> us:</p> <ul style="list-style-type: none"> <li>• a certificate of VAT registration</li> <li>• a letter from UK Trade and Industry setting out the involvement it has had with you in helping you to establish a business in the UK. (See Appendix E of this guidance.)</li> <li>• a letter from your corporate banking provider, setting out the dealings it has had with you, including the nature and duration of those dealings.</li> <li>• any document from Table 4</li> </ul>
<p>If you are a <b>Franchise</b></p>	<p>You <b>must</b> send us your Franchise Agreement signed by both parties.</p>

**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 2 - continued**

<p><b>If you are required to be registered with and/or inspected/monitored by a regulatory body</b> to operate lawfully in the UK we will need to check that you are registered and to see your last inspection report where appropriate.</p> <p>Examples of this include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Nursing/care homes and other businesses which must be inspected by Ofsted or the Care Quality Commission (or the equivalent bodies in Scotland, Wales and Northern Ireland).</li> <li>• Financial or insurance businesses carrying out regulated activities which must be registered with the Financial Conduct Authority or the Prudential Regulation Authority.</li> <li>• Healthcare and medical providers who must be registered with the General Medical Council or General Dental Council.</li> </ul>	<p>If you are regulated by any of the bodies listed on the left, we will carry out an online check so you do not need to send us anything unless we later ask you to. We will check you and any branches you have asked to be included on your licence. <b>Remember</b>, if you have applied for your licence under a different name to the one you have given to any of these bodies, you can <b>either</b> send your last inspection report <b>or</b> send us a covering letter telling us the name you have given to the regulatory body so that we can do an online check.</p> <p><b>If you are regulated by a body not listed on the left</b>, you can <b>either</b> send us documentary evidence of your registration (and any branches you have asked to be included on your licence where appropriate) <b>or</b> a weblink to a page on the regulatory body's website where we can verify your status online and the status of any branches you have asked to be included on your licence.</p> <p><b>Remember</b>, If you are applying as a head office and all branches or a group of branches, we must see evidence of any registration for each individual branch within that group where that registration is a legal requirement.</p> <p><b>Remember, membership or registration with a professional body or with companies house is not relevant to your application</b> and we do not need any evidence of such a registration. This section only applies where you have to be registered with a body which has the authority to take action against you for any failings and where, if it removed your registration or authorisation, you would no longer be able to lawfully operate some, or all of your business.</p>
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**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 2 - continued**

<p>If you are a <b>food business</b> and you are required to be registered with or approved by a food authority.</p>	<p>You <b>must send</b> evidence of your registration or approval. This may be a Scores on the Doors rating or a letter from the relevant authority which has approved/registered you.</p> <p>For a 'Scores on the Doors' rating you do not need to send us any evidence if your rating is published on <a href="https://scoresonthedoors.org.uk">scoresonthedoors.org.uk</a> in the same name that you are applying for your licence under.</p> <p><b>Remember</b>, if you have applied for your licence under a different name to the one on your Scores on the Doors rating, you can <b>either</b> send us documentary evidence of your rating or send us a covering letter telling us the name you have been rated under so that we can do an online check.</p>
<p>If you are a <b>charity</b>.</p>	<p>If you are <b>registered with the Charity Commission or the Office of the Scottish Charity regulator (or you are exempt from the requirement to register)</b> you do not need to send us any evidence if you are applying in the same name as your registered charity. This is because we can do an online check. If you are applying under a different name to the one you are registered as a charity under, you must tell us the name you are registered under so we can conduct our online check.</p> <p>If you are <b>based in Northern Ireland</b> you must send us proof of having obtained charitable status for tax purposes from HMRC.</p> <p>If you are an <b>ecclesiastical corporation</b> (corporate sole, or body corporate) you must send us proof that you are established for charitable purposes.</p> <p>If you are <b>not registered</b> according to the relevant charity legislation you must send us an explanation of why you are not registered.</p> <p>If you are a <b>school with Academy status</b> do you not need to send us anything.</p> <p><b>Remember</b>, if you are registered with the Charity Commission or the Office of the Scottish Charity Regulator, but you have applied for your licence under a different name to the one you are registered under, you can <b>either</b> send us documentary evidence of your registration <b>or</b> a covering letter to tell us what name you are registered under.</p>

**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 3**

<p>If you are applying for:</p> <ul style="list-style-type: none"> <li>• <b>Tier 2 (Sportsperson)</b></li> <li>• <b>Tier 5 (Creative &amp; Sporting)</b></li> </ul> <p>because you want to sponsor sportspeople and/or coaches.</p>	<p>You <b>must</b> send us an <b>endorsement from the governing body for your sport, which has been approved by us</b>. This must include the governing body unique reference number.</p>
<p>If you are applying for <b>Tier 5 (International Agreement)</b> because you want to sponsor <b>contractual service suppliers or independent professionals</b></p>	<p>You <b>must provide evidence</b> to show that you have awarded a services contract for a period of 12 months or less, through an open tendering (or other procedure) which guarantees the bona fide character of the contract under an international trade agreement, as described in this guidance.</p>
<p>If you are applying for <b>Tier 5 (Government Authorised Exchange)</b></p>	<p>All applications for Tier 5 (GAE) must be supported by an endorsing Government Dept (or one of its executive agencies) and be approved by us before you submit your application. By the time you apply for a Tier 5 (GEA) licence we will have already made sure that your scheme has been endorsed and approved. This means you <b>only need to send</b> us a total of 3 documents which should be made up of any mandatory documents from Table 2 and any other documents from Tables 3 and 4 to make your total number of documents up to 3.</p>

**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 3 - continued**

<p>If you are applying for:</p> <ul style="list-style-type: none"> <li>• Tier 2 (Minister of Religion)</li> <li>• Tier 5 (Religious Worker)</li> </ul>	<p>You <b>must</b> send us information about you which must include:</p> <p>Which faith/religion you belong to:</p> <ul style="list-style-type: none"> <li>• Details of your parent organisation and how you are connected to them, where applicable;</li> <li>• A hierarchy chart, where applicable, that shows where you are in the hierarchy.</li> <li>• The size of your adult congregation;</li> <li>• The number of clergy you currently employ where applicable;</li> <li>• Addresses of your regular meeting places;</li> <li>• Your scheduled days and hours of worship.</li> </ul> <p>Where there is a set hierarchy within your faith you <b>must</b> send us a letter of support from the head of your faith body organisation) or their nominated legal representative) which confirms that you are part of that organisation.</p> <p>Where applicable you <b>must</b> send a copy of your Form 76 from the General Register Office giving authorisation for the use of a building as a place of worship.</p> <p>Where applicable you <b>must</b> send a copy of Form 78 from the General Register Office giving authorisation for marriages to be performed at a place of worship.</p>
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**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 3 - continued**

<p><b>If you are applying for Tier 2 (Intra-company Transfer)</b></p>	<p>You <b>must</b> send us one of the following:</p> <ul style="list-style-type: none"> <li>• *Head Office's Audited Accounts clearly showing the link between the two entities.</li> <li>• *Head Office's Audited Annual Report clearly showing the link between the two entities.</li> <li>• An affidavit, signed by a senior partner/executive within the UK entity, identifying all of the connected entities both in the UK and overseas.</li> <li>• Where an organisation is registered on the London Stock Exchange or one of the FCA approved international stock exchanges, a notarised statement by the company secretary of the organisation, setting out the global corporate structure with ownership percentages of each related corporate entity detailed.</li> <li>• Certified copy of the share register or equivalent of one or other of the entities showing ownership by the entity or a copy of the share registers of both entities showing the common parent company.</li> <li>• Certified copy of the agreement naming both entities as parties or one entity as a party and the other entity as the subject of the agreement which allows one entity to control the composition of the other entity's board.</li> <li>• Certified copy of the agreement naming both entities as parties or one entity as a party and the other entity as the subject of the agreement which allows one entity to cast or control the casting of more than half the maximum number of votes that might be cast at a general meeting of the other entity.</li> </ul>
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**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 3 - continued**

<p>If you are applying for <b>Tier 2 (Intra-company Transfer)</b> continued</p>	<ul style="list-style-type: none"> <li>• Certified copy of the joint venture agreement naming both entities as parties or one entity as a party and the other entity as the entity formed by that agreement.</li> <li>• Certified copy of the agreement naming both entities as parties or one entity as a party and the other entity as the entity formed by that agreement that would constitute a joint venture agreement other than for the fact that joint venture agreements are not permitted in the country of operation or one of the entities is not permitted to enter into joint ventures in the country of operation.</li> <li>• Certified copy of the agreement which allows both entities to use a trademark which is registered or established under the laws of the UK and the jurisdiction of the other entity's country of operation. (This is only applicable to Accountancy or Law firms).</li> <li>• Certified copy of the agreement which allows both entities to operate under the same name in the UK and in the jurisdiction of the other entity's country of operation. (This is only applicable to Accountancy or Law firms).</li> <li>• Articles of Association.</li> </ul> <p>*If either of these documents is available to view online you can simply send us a covering letter telling us which website it is available on and we will download it instead of you having to send it to us.</p>
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**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance  
Appendix A**

**Table 3 - continued**

<p>If you are applying for</p> <p><b>Tier 4 (General Student)</b> or <b>Tier 4 (Child Student)</b></p>	<p>We <b>must</b> see that you have been inspected, audited or reviewed by one of the appropriate bodies listed below:</p> <ul style="list-style-type: none"> <li>• Quality Assurance Agency for Higher Education</li> <li>• Ofsted</li> <li>• The Bridge Schools Inspectorate</li> <li>• Schools Inspection Service</li> <li>• Education Scotland</li> <li>• Estyn</li> <li>• Education and Training Inspectorate</li> <li>• Independent Schools Inspectorate</li> </ul> <p>You do not need to send us any documents to verify that you are inspected by one of these bodies because we can conduct an online check as long as your inspection report is in the same name as the one you are applying under.</p> <p><b>Remember</b>, if you have applied for your licence under a different name to the one you have given to your inspection body, you can <b>either</b> send your last inspection report <b>or</b> send us a covering letter telling us the name you have given to the inspection body so that we can do an online check.</p> <p>If you are a <b>new independent school</b> you will not have an ISI report. Instead, you <b>must</b> send evidence that you have been formally registered by the relevant Government Department in your country as follows:</p> <p><b>England</b> – your School Number, issued by the Department for Education (DfE)</p> <p><b>Scotland</b> – your Scottish Executive Education Department (SEED) code.</p>
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**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 3 - continued**

<p>If you are applying for  <b>Tier 4 (General Student)</b>  or  <b>Tier 4 (Child Student)</b>  continued</p>	<p><b>Northern Ireland</b> – your confirmation of registration letter from the Department of Education Northern Ireland (DENI), School Governance Team.</p> <p><b>Wales</b> - your confirmation of registration letter from the Welsh Assembly Government (WAG), School Governance Team, which will include your unique school reference number.</p> <p>You must also be able to send evidence to show that you have appropriate planning permission or Local Planning Authority consent to operate your type/class of business at your trading address (where this is a Local Authority requirement). However, if we want to see this, we will write to you to ask for it.</p> <p>If you directly offer <b>short-term “study abroad” programmes</b> in your own premises in the UK to students who are enrolled in their home country, you <b>must</b> provide the following:</p> <ul style="list-style-type: none"> <li>• Overseas accreditation, which can be confirmed by NARIC, that your programmes are UK Higher Education equivalents. This overseas accreditation must be from a nationally recognised accrediting body clearly stating their name and be accompanied by a certified copy of the appropriate web page for the institution showing that accreditation; <b>and</b></li> <li>• Proof that you only teach part of your programmes in the UK. The information you submit should verify that students are studying in the UK for no more than 50% of the total length of the course and must include: <ul style="list-style-type: none"> <li>a) Original letter from the home campus confirming the above; or</li> <li>b) Original brochure/leaflet/catalogue confirming the above; or</li> <li>c) Certified copy of appropriate information from the institutional web site confirming the above; <b>and</b></li> </ul> </li> </ul> <p>Proof that you have full legal control of the premises you use. For example, original or certified copy of licence, lease, or proof of ownership.</p> <p><b>NB: If you</b> offer study abroad programmes on a franchise basis via a third party in the UK you will need to provide proof that your contractor is inspected, audited or reviewed in the UK (please see 1 or 2 above).</p>
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**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 4**

Evidence that you have employer's liability insurance cover for at least £5m from an authorised insurer. (The Financial Conduct Authority maintains a register of authorised insurers.)	Evidence that you have the appropriate planning permission to operate your type/class of business at your trading address where this is a Local Authority requirement.
Proof of your listing on the London Stock Exchange main or AIM markets.  <a href="http://www.londonstockexchange.com/exchange/prices-and-markets/stocks/main-market/main-market.html">www.londonstockexchange.com/exchange/prices-and-markets/stocks/main-market/main-market.html</a>	Proof of listing as an overseas company on the London Stock Exchange International Companies listing.  <a href="http://www.londonstockexchange.com/exchange/prices-and-markets/stocks/international-companies/international-regions.html">www.londonstockexchange.com/exchange/prices-and-markets/stocks/international-companies/international-regions.html</a>
Proof of your listing on one of the Financial Conduct Authority approved international stock exchanges at <a href="http://www.fsa.gov.uk/register/exchanges.do">www.fsa.gov.uk/register/exchanges.do</a>	Your latest Audited Annual Accounts with the name of the Accountant clearly shown. The Accountant should be a member of an Accredited Accounting Body (CIMA, CIPFA, ACCA, ACA etc). If you are legally obliged to submit audited accounts, one of the four documents must be your most recent set of audited accounts.  <b>If this information is available to view online</b> you can simply send us a covering letter telling us which website it is available on and we will download it instead of you having to send it to us.
Proof of registration with HM Revenue & Customs (HMRC) as self employed. Provide each partner's Unique Tax Reference Number (UTR) and/or the Partnerships/Businesses Unique Tax Reference Number (UTR). [Proof of registration must be original or certified copies of documentation issued by HMRC only].	Latest Annual self-assessment tax return to HM Revenue & Customs (HMRC) - Statement of Account (SA300 or SA302).

**Tier 2, Tier 4 and Tier 5 of the Points Based System – Sponsor Guidance**  
**Appendix A**

**Table 4 - continued**

Current Financial Report or Audited Annual Report with the name of the Accountant clearly shown. The Accountant should be a member of an Accredited Accounting Body (CIMA, CIPFA, ACCA, ACA etc).	Certificate of VAT registration; and/or latest VAT return confirming VAT registration number if turnover in excess of £64,000.
Evidence of Registration with HM Revenue & Customs (HMRC) as an employer to pay PAYE & National Insurance. Provide proof of PAYE Reference Number & Accounts Office Reference Number. (Evidence of registration must be original or certified copies of documentation issued by HMRC only).	<p>Latest Corporate/Business Bank Statement and/or a letter from your Bank setting out the dealings it has had with you, including the nature and duration of its dealings.</p> <p><b>Please note that if both documents are submitted, this will only count as one document towards the minimum document total of four.</b></p>
Latest Notice to file a Company Tax Return - CT620	Proof of ownership or lease of your business premises. If you send a copy of your lease agreement it must be signed by all parties concerned.
Evidence of submitting returns to HM Revenue & Customs (HMRC) – Foreign Entertainers Unit.	Licence for Premises to serve Alcohol issued by the Local Authority/Court.