

# University Technical Colleges from 2013

How to apply

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# 1. Things to know before you start

## Vision

1.1 We want to improve our education system so that children thrive and prosper, whatever their background. By introducing increased competition, innovation and parental choice, we aim to raise standards across the school system.

1.2. We are inviting applications to establish University Technical Colleges (UTCs) that will provide high quality, technically oriented, education for 14-19 year olds. UTCs should encourage innovation and be driven by the vision and passion of those proposing the UTC.

1.3 This guidance is for people who would like to establish a UTC. If your proposal does not meet the model of a UTC, you may be interested in applying to set up a Studio School, mainstream Free School, 16–19 Free School, special Free School or an alternative provision Free School. For more information, you should refer to the relevant guidance available on the Department for Education's website.

## What is a University Technical College?

1.4 UTCs are all-ability and mixed gender state funded schools, independent of local authorities. They are new 14-19 Academies, typically with 500-800 pupils. UTCs specialise in subjects that need modern, technical, industry-standard equipment, such as engineering and construction, and teach these disciplines alongside business skills and a broad, general education. Pupils integrate academic study with practical learning, studying core GCSEs alongside technical qualifications. The ethos and curriculum are designed with local and national employers who also provide support and work experience for pupils. UTCs are sponsored by a University, lead employer sponsor, other local employer partners and in some cases also by other educational providers with strengths in the UTC's specialist subject areas. UTCs should provide progression routes into higher education or further learning in work, including apprenticeships. Further information about the characteristics of a UTC can be obtained from the Baker Dearing Educational Trust (BDT) on their website.

1.5 The admissions policy of any UTC must be fair, open and transparent and be in accordance with the School Admissions Code. UTCs must be open to pupils of all abilities and faith (or non-faith) from the area and cannot be academically selective. UTCs are funded on a comparable basis to other state funded schools.

## University Technical Colleges: Law and policy

1.6 UTCs are new Academies and as such are independent schools to which the relevant Independent School Standards apply. The Education (Independent School Standards) (England) Regulations 2010 are available [here](#).

1.7 Each UTC will enter into a contract with the Secretary of State. This contract, termed the 'funding agreement'<sup>1</sup>, sets out the arrangements and standards by which the University Technical College must be run. The model UTC document will be available on the Department for Education's website in the coming weeks.

1.8 You should be aware of the following key requirements of UTCs. UTCs are new state funded 14-19 institutions that must:

- be sponsored by a university and employer, working with other local partners;
- specialise in 1 or 2 technical areas, to be taught alongside an academic curriculum;
- adopt fair practices and arrangements that are in accordance with the School Admissions Code, the School Admission Appeals Code and admissions law as it applies to maintained schools<sup>2</sup>;
- collect performance data, publish results<sup>3</sup> and be subject to Ofsted inspection under the same framework that applies to all publicly funded schools;
- have regard to the Special Educational Needs Code of Practice; and
- provide a broad and balanced curriculum of the core subjects of English maths and science and technical specialism(s) and make provision for the teaching of religious education.

1.9 UTCs do not have to:

- follow the National Curriculum;
- employ teachers with Qualified Teacher Status<sup>4</sup>; or
- comply with the provisions in the School Teachers' Pay and Conditions Document.

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<sup>1</sup> For simplicity we use 'funding agreement' throughout the application documents to refer to the formal legal agreement between the Academy Trust and the Secretary of State. In addition to the funding agreement the law allows the Secretary of State to fund Academies (including UTCs) by payment of grant.

<sup>2</sup> We are revising both the School Admissions Code and the School Admissions Appeals Code at the moment. The new codes are expected to come into force in February 2012 and will affect the allocation of places for children starting school in September 2013. Please use the draft codes [available here](#) when developing your application.

<sup>3</sup> As with secondary schools, this reporting currently (as at 2011) includes the proportion of Key Stage 4 pupils attaining 5 or more GCSEs at A\*-C (or equivalent) including English and maths and English Baccalaureate results.

<sup>4</sup> With the exception of a Special Educational Needs Coordinator and the school's designated lead for looked after children, although please note that certain head teachers may hold these roles without having QTS.

## 2. Getting started

### Before you start

2.1 Applications are invited from groups that have identified evidence of employer, parent and student demand. Applicant groups must include a university and employer working in partnership. Other existing educational providers – such as an Academy Trust, further education college or training provider – may choose to work with universities and employers as well.

2.2 Setting up a UTC requires a lot of time, commitment and determination. Before you start your application, you should think about:

- the law and policy as they apply to UTCs;
- the potential demand in your area for a UTC and the particular specialism(s) you propose;
- potential sites for the UTC;
- the level of involvement from the group, local employers and a university;
- the relevant skills and experience you have to set up and run a UTC; and
- whether you need to access any additional expertise and how you might secure this.

2.3 The Baker Dearing Educational Trust (BDT) established the University Technical College model. Further information can be obtained on their website at [www.utcolleges.org](http://www.utcolleges.org). BDT is now the promoter of UTCs and is working with the Department for Education through the application process. Applicants are strongly encouraged to discuss their application with BDT, who will be able to offer advice and support.

### Organising your group

2.4 Applicant groups will need to look at what needs to be done, both on a short term basis (submitting the full application and, if approved, preparing for the UTC to open) and long term basis (strategic running of the UTC as well as day-to-day management). Groups will then want to organise themselves based on the skills, experience and time commitment of individual members so that the group is deployed and governed in the most effective way.

2.5 Each UTC must be underpinned by strong governance arrangements and established on a solid legal footing and independent of any other education establishment. Behind any UTC is a company, referred to as an Academy Trust, constituted specifically for the purpose of establishing and running a school. This must be set up as a company limited by guarantee to protect the members of the company by limiting their personal liabilities.

### Establishing a company

2.6 A company is made up of members and directors. Neither members nor directors are paid for their work in this role. **The members** of a company are its

legal owners and have a strategic role in running the UTC and ultimate control over the company. When setting up your company you are required to have at least three founding members but you can have more. Your group will need to decide who the members of the company will be. The members appoint the directors of the company, and when setting up your company, the members are required to appoint at least one director. This may be one of the members themselves.

2.7 **Directors** will be responsible for the day-to-day management and governance of the UTC. In other words your directors will be your governors of the UTC and where we refer to governors and governing bodies in this guidance, we are talking about your company directors.

2.8 Company members are not always directors, but in some cases will undertake both roles. We would expect most of the directors not to be members of the company as well because it is important to have clear lines of accountability between the directors and the members.

2.9 You will also need to complete the relevant paperwork to establish your company limited by guarantee. As founding members you need to sign a legal document known as the memorandum of association. You also need to complete the articles of association, which set out the purpose of the company and the rules that govern it. UTCs should use the Department for Education's UTC model memorandum and articles of association which can be found [here](#). If your company is formed using our model memorandum and articles of association it will also be a charity at the point that the articles are adopted. The company's Directors will then also be its **trustees**<sup>5</sup> for charity law purposes.

2.10 You then need to submit these completed documents, along with an application to register a company and the relevant fee, to Companies House. Further information on what you need to do to set up a company is available from Companies House [here](#). **Please note that we may request to see your memorandum and articles of association at a later date.**

2.11 The individuals behind any UTC application are crucial to its success. You will want to consider who forms your group and ensure that you are organised in an effective and appropriate way. You should have arrangements in place to ensure that any potential conflicts of interest are avoided. Conflicts of interest could include members of groups being related to each other or principals setting their own salaries (e.g. if they are also a director of the Academy Trust) but we encourage you to think widely about any possible conflicts of interest that you may face. It is possible for members of groups who have been involved in establishing a UTC to later be employed at the UTC. However, if this is your intention, we would expect you to demonstrate how you will avoid a conflict of interest on this point, including through fair and open recruitment processes.

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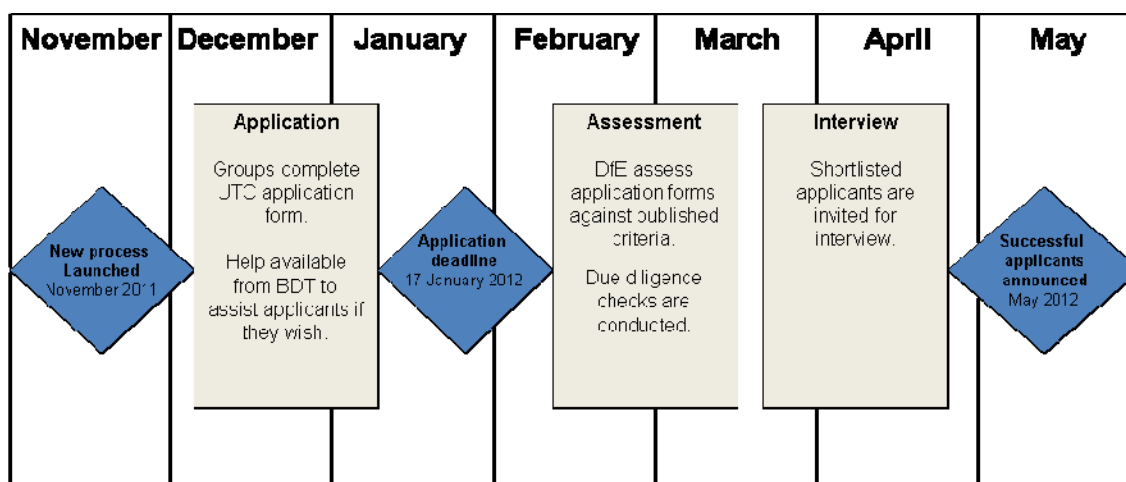
<sup>5</sup> There is guidance issued by the Charity Commission on the role and duties of charity trustees: <http://www.charitycommission.gov.uk/publications/cc3.aspx>

2.12 Just as every UTC application will be different, the makeup of applicant groups will be different. Each group will want to ensure that it has the right employer and university engagement, skills and experience to deliver its vision. The Baker Dearing Educational Trust (BDT) will be able to advise you about the kinds of skills and expertise required.

## **Suitability of applicants**

2.13 The Secretary of State will seek to ensure that only suitable persons are permitted to establish publicly funded University Technical Colleges. He will consider each application on its merits, and take into account all matters relevant to the application. He will reject any applications put forward by organisations which advocate violence or other illegal activities, or by individuals associated with such organisations. In order to be approved, applications will need to demonstrate that they would support UK democratic values including respect for the basis on which UK laws are made and applied; respect for democracy; support for individual liberties within the law; and mutual tolerance and respect.

### 3. The application process explained



#### What happens when

##### Preparing and submitting your application

3.1 Completed applications **must** be submitted to the Department for Education by 6.00 pm on 17 January 2012. Please note that any applications received after this time will not be considered.

3.2 It is important that you read this guidance carefully before starting your application to make sure you understand what you need to do and the information that you must provide.

3.3 The Baker Dearing Educational Trust (BDT) receives funding from the Department for Education to help you prepare your application by providing you with advice, information and examples of good practice. We strongly recommend that you seek their help.

##### Assessment of your application

3.4 We will assess your application against the requirements and criteria set out in this guide. You must ensure that you provide all the information that we have asked for.



3.5 All applications will:

- be judged against the criteria set out in this guidance, other UTC applications and a range of contextual factors. **Chapter 4** provides further information about the assessment process; and
- be subject to due diligence checks.

## **Interviews**

3.6 If your application is assessed as one of the strongest we will invite your group to an interview. We will provide further information on interview dates in due course.

## **Final approval and decisions**

3.7 We hope to let everyone know the outcome of their application, successful or otherwise, by the end of May 2012.

3.8 If the Secretary of State decides your application should progress you will be provided with a dedicated project lead from the Department for Education, along with support to help secure a site and open your UTC.

3.9 There will be a significant amount of work to complete between approving your application and your UTC opening. You should therefore be clear that members of your group are able to commit themselves fully to the time necessary to do this. During this period you may have support to hire a principal designate and other senior staff, as well as project management support. The key requirement for you is to oversee any staff working full-time.

3.10 Assuming you make good progress after your application is approved, the Secretary of State will then decide whether to enter into a funding agreement with you.

## **Appeals**

3.11 Decisions by the Secretary of State are final and there will be no formal appeals process.

## 4. How we assess applications

4.1 Your application will be assessed in the following ways:

- against the criteria set out in **Chapter 6** of this guidance;
- against other UTC applications; and
- against a range of contextual factors including value for money.

4.2. Applications will also be subject to due diligence and other checks.

4.3 In assessing all applications, we will take into account a wide set of contextual factors, including, but not limited to:

- overall cost;
- value for money;
- the Secretary of State's duty to consider equality issues<sup>6</sup> related to the proposed UTC;
- the standards of schools in the local area;
- the level of deprivation in the community that it will serve;
- the need for more school places in the area; and
- the recent track record, including on education and finance, of applicants who run existing provision.

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<sup>6</sup> Section 149 of the Equality Act 2010

## 5. Preparing your application

5.1 A University Technical College application is made up of eight sections as follows:

- **Section A:** Applicant details and declaration
- **Section B:** Outline of the UTC
- **Section C:** Education vision
- **Section D:** Education plan
- **Section E:** Evidence of demand and marketing
- **Section F:** Capacity and capability
- **Section G:** Initial costs and financial viability
- **Section H:** Premises

5.2 Please read through all these sections before you begin, to avoid repetition from section to section.

5.3 In **sections A-H** we are asking you to tell us about you and the UTC you want to establish. We have provided a form for you to use for sections A and B, which is available [here](#). Please answer all sections with particular regard to your proposed specialism(s).

5.4 **Section G** also requires you to submit two financial plans as Appendix 4 – see below. Both financial plans must be filled out using the same template, which is available [here](#), but using different assumptions. The first financial plan should be developed on the basis that all the pupil places in your UTC will be filled. The second financial plan must show how you would manage your budget and remain financially viable if you were not able to achieve the levels of income you assumed in the first scenario (e.g. if you are unable to recruit the number of pupils you expect).

5.5 We also require appendices, as set out in the appropriate sections of this guidance. The full application should consist of:

- The Application – Sections A-H
- Appendix 1 – Letters of support
- Appendix 2 – Catchment area and travel plan
- Appendix 3 – CVs of key people
- Appendix 4 – Financial spreadsheets
- Appendix 5 – Site plan

5.6 You need to submit all of this information in order for your application to be assessed. **Chapter 6** provides further information on what we are looking for in each section, how you should provide it and the criteria we will use to assess your application. **Chapter 7** provides further detail about how, when and where to submit your UTC application.

## 6. Assessment criteria

6.1 All sections of your application must be completed in order for it to be considered. We will use the criteria outlined in this chapter to assess your application. Under each criterion we have included a description of what you should include in your application. **Sections A** and **B** need to be completed for information purposes and therefore have no assessment criteria.

### Section A: Applicant details and declaration

6.2 This section seeks basic information about your group, including the main contact details of the lead applicant and the company limited by guarantee that has been formed and registered with Companies House (also referred to as an 'Academy Trust'). It also seeks information on any related organisations that have links with the applicant group as well as information from applicants who are existing education providers.

6.3 As companies limited by guarantee, certain details will be publicly available on the Companies House website. However, the personal information you provide in **Section A** will be treated by the Department for Education in accordance with the Data Protection Act 1998.

#### Data protection

The personal data you provide us with will be used to consider your application to set up a UTC and will not be used for other purposes. For the purposes of the Data Protection Act, the Department for Education is the data controller for this personal information and for ensuring that it is processed in accordance with the terms of the Act. The Department for Education will hold all personal information you supply securely and will only make it available to those who need to see it as part of the UTC application process. All personal information supplied in these forms will only be retained for as long as it is needed for this process.

6.4 There are no assessment criteria for this section.

### Section B: Outline of the UTC

6.5 This section seeks key details on the type of UTC that is being proposed, including its name, planned yearly intakes and the number of pupils when the UTC is at full capacity.

6.6 There are no assessment criteria for this section.

## Section C: Education vision

6.7 The education vision should describe why you are setting up this particular UTC in this area, and its core features and ethos. This is your opportunity to tell us in your own words about the overarching vision for your UTC and how it informs your education plan.

6.8 We will be using two criteria to assess this section of your application.

### **C1: Provide a clearly focused, coherent vision that underpins the application with a compelling rationale for establishing the UTC.**

You must:

- set out clearly why you are seeking to establish your UTC. Please explain the key features, rationale for the proposed specialism(s) including the technical curriculum, location and approach to teaching and learning;
- set out your aspirations for the achievement of individual pupils, and the UTC as a whole, and why these are appropriate;
- identify what will make your UTC distinctive in its vision and ethos and how this has informed the education plan, demonstrating your understanding of the distinctive characteristics of UTCs, including the role of the university, the role of local employers, the curriculum framework and other standards recommended by the Baker Dearing Educational Trust; and
- explain how the proposed specialism(s) and the employer and university engagement will be reflected in the curriculum.

### **C2: Outline a clear identity for the UTC, which utilises the expertise of, but is separate from, the sponsors.**

You must:

- identify the role that you expect the university and employer sponsors to play in establishing the UTC in the medium to long term (please provide letters of support from your sponsors, partners and other relevant organisations wherever possible, indicating the practical support being offered to the UTC as Appendix 1 to your application); and
- explain how you will make the UTC a separate institution from that of the sponsors' existing provision.

## Section D: Education plan

6.9 This is the heart of your application. Your education plan must explain how your UTC will achieve its education vision, relating to your proposed specialism(s) throughout. The education plan should describe the structure of your UTC and the experience that pupils will have there. You should set out your aspirations for the technical curriculum, pupil achievement, and how the UTC will evaluate performance, both of individual pupils and the UTC as a whole.

6.10 Please provide further information in your Appendix 2 – Catchment area and travel plan.

6.11 We will be using seven criteria to assess this part of your application.

### **D1: Set out a broad and balanced curriculum and an appropriate focus on the technical specialism(s) of the UTC.**

You must:

- describe the curriculum in some detail, setting out how it will be broad and balanced<sup>7</sup> and meet the different needs and interests of all pupils, and the range of qualifications which might be offered;
- describe the specialism(s) of the UTC and how these will be integrated into the curriculum to be delivered (a) to 14-16 year old pupils and (b) to post-16 pupils;
- set out a curriculum model that shows what proportion of learning is given over to each subject or area of learning for each year group; and
- describe how employers will be involved in the design and delivery of the curriculum.

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<sup>7</sup> In order to be considered broadly based and balanced the curriculum must (a) promote the spiritual, moral, cultural, mental and physical development of pupils at the UTC and of society, and (b) prepare pupils at the UTC for the opportunities, responsibilities and experiences of later life.

## **D2: Provide a coherent and feasible UTC timetable and calendar.**

You must:

- set out expectations around the length of the UTC day, term and year. This should include the number and length of lessons each day and your plans for extended hours, and should make a clear distinction between compulsory and optional activities; and
- explain how pupils will be organised, for example through year groups, tutor groups or other class structures and how this links with and supports the UTC's vision.

## **D3: Set out a clear strategy for ensuring that the needs of pupils with differing abilities are met.**

You must:

- demonstrate an awareness of the varying needs of individual pupils and have an effective strategy meeting them, and for supporting those who need it and stretching the most able (gifted and talented pupils);
- show how you will use your proposed specialism(s), ICT, other agencies and sponsors' resources to support the learning and achievement of pupils with varying abilities and needs;
- set out your approach to overcoming barriers to learning and achievement, such as children with English as their second or additional language;
- set out your approach to supporting disabled pupils and pupils with special educational needs, who may or may not have a statement, with particular regard to your proposed specialism(s); and
- set out how you will have regard to the Special Educational Needs Code of Practice.



**D4: Tell us how your definitions and measures of success will deliver your vision for pupil achievement.**

You must:

- outline the proposed success measures for both individual learners and for the whole institution; and
- explain how you will know whether you are achieving these success measures through monitoring, evaluation and reporting.

**D5: Describe your admissions policy, confirming commitment to fair and transparent admissions practices.**

You must:

- set out your admissions policy, including the criteria to be used to prioritise places if your UTC is oversubscribed. Your admissions policy must be in accordance with the School Admissions Code, the School Admissions Appeals Code and admissions law as it applies to maintained schools<sup>8</sup>. It must be clearly linked to the delivery of your education vision;
- define the catchment area of the UTC (please provide relevant further information as Appendix 2 to your application); and
- explain any associated travel issues and how these will be managed, noting that there will be no specific additional funding from the Department for Education for transport costs. Please provide relevant further information as Appendix 2 to your application.

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<sup>8</sup> We are revising both the School Admissions Code and the School Admissions Appeals Code at the moment. The new codes are due to come into force in February 2012 and will affect the allocation of places for children starting school in September 2013. Please use the [draft codes](#) when developing your application.

**D6: Describe how your approach to behaviour management, pupil wellbeing and attendance will improve pupil outcomes.**

You must:

- set out detailed strategies for promoting good behaviour and attendance;
- describe how you will promote pupil wellbeing, including through pastoral care and strategies for tackling bullying; and
- describe how these strategies are informed by your vision and linked to raising standards and education outcomes.

**D7: Demonstrate your understanding of the local community and its needs, and your plans for sharing facilities with other schools and the wider community.**

You must:

- demonstrate a good understanding of the community your pupil intake will come from and show how the education plan reflects that while retaining high expectations for pupil achievement;
- describe any plans you have for working with other schools, educational establishments or the wider community; and
- set out how you will promote good community relations.

## Section E: Evidence of demand and marketing

6.12 In this section we are looking for evidence of demand from employers, evidence that local young people would want to attend your UTC and evidence that parents would send their children to your UTC. The funding your UTC will receive will depend on the number of pupils you have. The more evidence you can provide to show you have demand for the number of pupil places you need to fill in the first two years of the school being open, the better. You must show that this demand is for your specific school and you must have engaged directly with the community you will be serving.

6.13 You must demonstrate strong and sustained demand for the UTC among (a) employers in the area and (b) parents and children in the catchment area. You should also demonstrate how you have engaged with the wider community, including other education providers, and considered the impact of the UTC on those providers. If possible, please demonstrate your engagement with local authorities, other local schools and FE providers.

**6.14 Those applicants that are called to interview will be asked to update the panel on the latest evidence and information on E1 and E2 so please keep consulting locally and collating data to demonstrate demand for your UTC.**

6.15 We will be using three criteria to assess this part of your application.

### **E1: Provide evidence of demand from employers**

You must:

- provide information that clearly shows demand for your UTC from employers on the basis of skills shortages. Tell us about any consultation that has taken place. You may consider providing wider data and evidence about local need.

### **E2: Provide evidence of demand from pupils and parents**

You must:

- provide information that clearly shows demand for your UTC from parents and prospective pupils. Tell us about any consultation that has taken place. You may consider providing wider demographic data and evidence about local need in the area to add context to the data from your survey findings.

### **E3: Demonstrate how you intend to reach out to the wider community and the wide catchment your UTC is likely to have**

You must:

- demonstrate how you have made or plan to make the UTC known and attractive to pupils of varying abilities including from deprived or disadvantaged families;
- tell us if you are planning to use the UTC as a resource for the wider community (e.g. hiring out premises) and, if so, how will this be managed;
- show clearly how your approach has been or will be tailored to specific groups, including mitigating the risk of gender stereotyping;
- include details of any discussions you have had with local authorities about pupil admissions or any details you have gathered about the need for more school places and/or your proposed specialism(s) in the catchment area of your UTC; and
- set out a robust marketing strategy built on your education vision and plan, taking into account your proposed intake and the demand that you have already identified.

## Section F: Capacity and capability

6.16 You must demonstrate to us that your group has the capacity and capability to set up **and** run a UTC, and has access to a university sponsor, a local employer sponsor, educational, financial and other expertise. Please provide further information in your Appendix 3 – CVs of key people.

6.17 If your application is approved, we will be able to support you, if required, to secure additional expertise that you may need in the implementation phase, such as project management, human resources, ICT and sites and property/construction.

6.18 Before submitting an application for a UTC, you **must** have established a company limited by guarantee with members and directors appropriately skilled to discharge their duties and willing to do so without payment. This is explained in more detail in **Chapter 2** of this guidance.

6.19 We will be using five criteria to assess this section of your application. In providing responses to criteria **F1**, **F2** and **F3** set out below, it is important to note that:

- expertise could come from within your group or through forming a voluntary partnership with an organisation or individual(s) with a successful educational track record or by entering a commercial contract with such an organisation or individual(s);
- there is no guarantee that your application will be successful. Therefore you **must not** enter into any contracts in the expectation of funding from the Department for Education. In your application you should tell us what contractual arrangements, if any, you would like to have in place should your application be approved; and
- public procurement regulations apply to expenditure of public money and require that commercial contracts must be let competitively. Therefore, there can be **no guarantee** that organisations or individuals offering support in the preparation of applications will be offered contracts to continue providing such support should the application be approved.

**F1: Show how you will access appropriate and sufficient educational expertise to deliver your vision.**

You must:

- show that you have identified the resources, people and skills that you will need to set up and operate a UTC;
- confirm time commitments to the project from relevant individuals, employers and university sponsors; and
- set out your clear and detailed plans for identifying and securing any necessary educational expertise currently missing from your group.

**F2: Show how you will access appropriate and sufficient financial expertise to manage your UTC's budget.**

You must:

- show that you have identified the resources, people and skills that you will need to set up the arrangements for and undertake the financial management of a UTC;
- confirm time commitments to the project from relevant individuals, companies and organisations; and
- set out your clear and detailed plans for identifying and securing any necessary financial expertise, including an understanding of school budgets, currently missing from your group.

**F3: Show how you will access other relevant expertise to manage the opening and operation of your UTC.**

You must:

- provide details of your group, including the members of the company, and their particular areas of experience and expertise;
- show that your group has identified other relevant expertise, such as individuals or organisations with successful experience of setting up a new organisation or business, human resources, ICT, property/construction, marketing, school governance and project management;
- set out clear time commitments to the project from the relevant individuals;
- explain how work on this UTC will be balanced against the development of

other schools if your group is seeking to establish more than one new school; and

- set out clear and detailed plans for identifying and securing any necessary expertise currently missing from your group.

#### **F4: Show how your staffing structure will deliver the planned curriculum.**

You must:

- set out plans showing an appropriate and phased build up of staff (where the UTC is increasing in size over time) in line with planned pupil numbers and financial resources;
- describe the final senior staffing structure including input from employers where appropriate. Show how the staffing structure is sufficient, affordable and appropriate to deliver the proposed specialism(s), education vision and plan;
- reflect both the arrangements for the first year and for the longer term as the UTC builds to full capacity, with clear delineation of roles and responsibilities; and
- set out which staff will be shared with the proposer/sponsors (where applicable) and how this enables you to benefit from economies of scale.

In preparing your application, it is important to note that:

- you will be asked to demonstrate the financial viability of this staffing plan later in the application form in **Section G: Initial costs and financial viability**. Please ensure that the information you provide is consistent in both sections.

**F5: Provide realistic plans for recruiting a high quality principal designate, other staff and governors in accordance with your proposed staffing structure and education plans.**

You must:

- set out plans for recruiting your UTC's principal designate (head teacher) and the role you envisage him/her playing in the pre opening phase;
- set out your plans for recruiting high quality members of staff;
- tell us about any individuals you have already identified as prospective governors and their relevant skills and expertise; and
- describe how you will identify and appoint committed governors with the breadth of skills needed to successfully oversee both the implementation of a UTC and its operation once open.

**F6: Demonstrate a clear understanding and describe the respective roles of the company members, governing body, and principal designate in running your UTC.**

You must:

- clearly describe in both writing **and** in a diagram the structure, lines of accountability and methods of escalation between the company members, the UTC's governing body (the company directors) and the principal designate;
- clearly define and set out the respective roles and responsibilities of the company members, the governing body and the principal designate; and
- have arrangements that seek to ensure that any potential conflicts of interest are avoided and that deliver **independent** challenge to those with executive functions.



## **Section G: Initial costs and financial viability**

6.20 In this section we are looking for evidence that the cost of setting up your UTC and delivering your proposed education plan is affordable and that your group is able to plan and manage the financial side of running a publicly funded school. UTCs must offer value for public money.

6.21 We have included in **Annex A** an explanation of how school funding works and the information you need to know before starting this section of your application. You should read this annex carefully.

### **Step 1 - You must complete two different financial plans for your UTC.**

6.22 We want you to create two different financial plans for your UTC. You must do this by filling out the same template spreadsheet twice, with information based on two different scenarios. The template spreadsheet is available [here](#) and must be used for all UTC applications and included as your Appendix 4 - Financial spreadsheets. Instructions for completing the spreadsheet are contained within it.

6.23 The first financial plan needs to show us the income you expect to receive and what you intend to spend when your UTC is full. You must provide financial information up to and including **the academic year after the UTC is full and for a minimum period of five years.**

6.24 You should complete the second financial plan to show us how you would reduce spending if your income is lower than expected – for example, if you recruit fewer pupils than planned. Please refer to criterion **G3** for further information.

**6.25 In both financial plans, your income must always exceed your expenditure, taking start-up funding and reserves you have built up in prior years into account.**

6.26 In preparing your financial plans, you should think carefully about how you can make the best use of the money available to you to deliver your education plan. We know that it will not be possible for you to state actual costs at this stage but we need you to demonstrate that your particular proposed specialism(s), education vision and plan are affordable. The cost estimates you make need to be realistic and based on evidence. If you show income that is not from the Department for Education, you need to explain where it is coming from, how certain you are that you will get it and provide evidence to support this assumption.

6.27 In preparing your financial plans it is important for you to ensure that they:

- are based on clearly stated and evidenced assumptions;
- flow directly from the education vision and plan for your UTC;
- show how you have kept costs to the minimum needed to deliver your education plan;
- refer to established school benchmarks where appropriate;
- use best estimates where there are uncertainties;
- do not show a deficit in any year;
- are not predicated on your UTC being able to borrow money;
- do not carry over excessive balances of money from one year to the next; and
- show clearly any income you are expecting to receive from sources other than the Department for Education and provide robust evidence to show why this is realistic and achievable.

6.28 Both completed financial plans must be submitted alongside your main application **as electronic Excel files and in hard copy**.

## **Step 2 - In addition, you must include an explanation in your application describing how you developed your financial plans and the thinking behind them.**

6.29 We expect you to explain how you have kept costs as low as possible and how your financial plans support your education vision and plan. You should also tell us about the assumptions you have based your plan on, and the evidence you have gathered to show these are realistic.

### **Review of school funding**

6.30 School funding for 2012/13 and beyond is not yet decided because of wider work going on to reform the school funding system. Therefore, you will need to use funding figures for 2011/12 when completing your financial plans. This means that the approach to, and levels of, funding suggested by the template spreadsheet are indicative only, and do not represent the actual funding the UTC would receive if approved.

6.31 We will be using five criteria to assess applications for initial costs and financial viability.

#### **G1: Show how the UTC will be financially viable and offer value for public money up to the point where there are pupils in each year.**

You must:

- show in **both financial plans** that income, including start-up funding, would exceed expenditure for each year up to and including the first year where you have pupils in each year (the 'start-up' period); and
- demonstrate you have minimised the need for any start-up funding, particularly staffing diseconomy funding. For example, where the UTC is building up year group by year group we would normally expect head teachers to do some teaching, and for support staff to fulfil multiple roles.

#### **G2: Show how the UTC will be financially sustainable once there are pupils in each year.**

You must:

- demonstrate in your **first financial plan** that income will exceed expenditure once the UTC is no longer eligible for start-up funding. The last year in which UTCs are currently eligible for start-up funding is the first year in which they have a cohort of pupils in each year;
- set out clearly and explain in your application the supporting assumptions for your first financial plan; and

- ensure suitable contingencies and flexibility that would allow the UTC to cope with unexpected financial pressures. You should not do this by building up a large surplus over time without reason.

### **G3: Show how the UTC will be financially resilient to reductions in income.**

You must:

- show in your **second financial plan** how you would reduce your expenditure to spend less than your income if you were not able to achieve the levels of income you assumed in your first financial plan. You must show how you would do this whilst still being able to deliver high quality education in line with your stated education vision and plan;
- show in your second financial plan how you would manage if only 90% of pupil places were filled in each year;
- also take into account any other areas that could impact on your UTC's income. In particular, where relevant, you should show in your second financial plan how you would manage if:
  - your proportion of Free School Meals pupils is lower than expected, where you are assuming a higher rate than the local authority average; and/or
  - you did not reach the assumed level income from sources other than DfE grants e.g. third party contributions; and
- set out clearly and explain in your application form the supporting assumptions for your second financial plan.

### **G4: Provide realistic financial plans that are consistent with other aspects of your application.**

You must:

- be consistent about the information you provide in **both financial plans** and other relevant parts of your application. This means that the numbers and assumptions in your **first financial plan** must match the numbers and assumptions stated elsewhere in the application and that the numbers and assumptions in your **second financial plan** are clearly explained and evidenced in your application.

In preparing your application, it is important to note that:

- examples of areas that will be scrutinised include pupil numbers, staffing structure, and whether there are elements of the education vision and plan (such as after extended provision) that would require financing and how these are reflected in your financial plans.

**G5: Provide sound financial plans that are based on realistic and evidenced assumptions about income and expenditure.**

You must:

- complete the template spreadsheets accurately;
- ensure that all required fields of the template spreadsheets are filled in;
- clearly state and evidence in your application all the assumptions you have made in putting together your financial plans; and
- use, where appropriate, benchmarking data (eg school or local authority data) to ensure that the figures you have included are realistic.

## Section H: Premises

6.32 Finding a suitable site is an essential part of opening a UTC. As part of preparing your application you should investigate potential sites for your UTC. In your application we would like you to tell us about the sites you have identified. Please provide further information as Appendix 5 – Site plan.

6.33 There are no assessment criteria for this section. **Your overall application would not be affected by the information you provide on premises.**

However we would like to know where you would prefer your UTC to be. Your preferred sites will be visited by Partnerships for Schools. Partnerships for Schools is the organisation appointed by the Department for Education to assist in finding and securing UTC sites<sup>9</sup>. Partnerships for Schools will assess the sites they visit for their suitability, availability, and the likely cost and duration of work required.

6.34 We will also make an overall cost and value for money assessment of your proposed site options. You should therefore aim for the lowest possible capital cost. Successful applicants will be provided with help to secure a suitable site for their UTC. Advice and guidance on how to find potential sites, as part of developing your application, is available from Partnerships for Schools by contacting them by e-mail.

6.35 You should make enquiries as to whether your proposed sites are available for acquisition or leasehold but you **must not** enter into any negotiations at this or any other stage on the expectation of funding from the Department for Education. If your application is approved, Partnerships for Schools will undertake negotiations on our behalf to acquire a site for your UTC.

6.36 Where premises proposed involve the granting of a lease, it is expected that the length of the lease will offer stability to the school, its staff and students, and represent good value for money. Your application should be clear what the cost of the lease will be, and what this cost is intended to cover.

6.37 It is also expected that any lease charges for non-commercial premises should be for a peppercorn rent with no premium payable. Where this is not so or where private sector premises are proposed, it should be clearly identified in the application with a short accompanying explanation.

6.38 Any capital requirements should be clearly identified as upfront costs in applications (this covers all building work and ICT equipment not covered by the start-up grant). Capital requirements must be declared fully in your application.

6.39 **Please note** that if it proves impossible to identify a feasible site, we may not be able to approve your application for opening in 2013, simply because of the time available to prepare the site for the opening. If this is the case, Partnerships for Schools will help you with your search for a site and we may

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<sup>9</sup> From April 2012, Partnerships for Schools will become part of the new Education Funding Agency

consider working with you towards opening in 2014 or beyond.

6.40 Although this section of your application will not be assessed against any specific criteria, you should aim to provide us with the following information:

### **Possible site options**

6.41 Please provide brief details of the steps you have taken to search for suitable sites and what sites (if any) are available in the local area.

### **Details of your preferred sites**

6.42 Please set out for each of your preferred sites, if possible:

- your reasons for choosing it;
- the address and postcode of the proposed site;
- the current use of the proposed site;
- the current freeholder of the proposed site;
- a brief description of the site including size (in square metres) along with the pupil numbers you are proposing;
- the availability of the site and the nature of the tenure; and
- why you think the site is suitable for your UTC and how it will support delivery of your education vision.

### **Capital investment**

6.43 Please detail any sources of funding available to you to support site acquisition.

### **UTCs in public and government buildings**

6.44 When looking for potential sites we encourage you to consider surplus or under-utilised government and other public buildings. These have the potential to offer cost-effective solutions. A wide range of public buildings could provide suitable accommodation for a UTC, including:

- offices;
- courts and police stations;
- clinics, health centres, day centres and hospitals;
- care facilities;
- training centres;
- Territorial Army facilities and barracks;
- depots;
- former churches;
- ambulance stations; and
- fire control centres.

6.45 We have carried out detailed assessments including surveys and, where appropriate, pre-planning enquiries of six sites. We welcome applications to establish UTCs on these sites. Information about the sites can be found via our [website](#) including location, size and the type of school for which each site might be suitable. They currently include two Department for Education buildings, Mowden Hall in Darlington and Castle View House in Runcorn, where there is potential to share the sites with us.

6.46 We will add details of further properties as they become available. If you are interested in any of these properties please [email](#) Partnerships for Schools.

6.47 Partnerships for Schools will provide you with further detail about these sites and will be able to advise you on how they might match your education vision. Furthermore, to assist you with searching for other available government and publicly owned sites, Partnerships for Schools has developed an online map browser [here](#) that will allow you to explore potential Government and other publicly owned buildings by entering your postcode.



## 7. Submitting your application

### How, where and when to submit

7.1 Please submit all the written information and two financial plans before 6pm on 17 January 2012. Applications received after the deadline will not be considered. You need to submit one copy by email to [utc.applications@education.gsi.gov.uk](mailto:utc.applications@education.gsi.gov.uk) and two hard copies by 'Recorded Signed For' delivery to:

UTCs Applications Team  
Department for Education  
3rd Floor  
Sanctuary Buildings  
Great Smith Street  
London SW1P 3BT

7.2 It is essential that the hard copies you provide are identical to the electronic version you email. Your application should be formatted for printing on A4 paper and completed in Arial font with a minimum font size of 12. Your application should not exceed 20 pages (excluding appendices) and your email must be smaller than 20MB in total. You may wish, therefore, to carefully consider how important photographs, images and logos are to your application.

7.3 Please remember that we must receive all of the documents that make up your application **no later than 6pm on 17 January 2012** in order for them to be considered<sup>10</sup>. You may find it helpful to use the checklist in **Annex B** of this document to ensure that you have provided all the information we need to assess your application.

7.4 The full application should consist of:

- The Application
- Appendix 1 – Letters of support
- Appendix 2 – Catchment area and travel plan
- Appendix 3 – CVs of key people
- Appendix 4 – Financial spreadsheets
- Appendix 5 – Site plan

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<sup>10</sup> Applicants should not submit additional supporting material after this date, although the Department for Education reserves the right to request additional information if deemed necessary.

## 8. Support for applicants

### Useful contacts

8.1 Please find below contact details of organisations that are able to offer support:

- The Baker Dearing Educational Trust (BDT) established the University Technical College model. Further information can be obtained on their website at [www.utcolleges.org](http://www.utcolleges.org). BDT is now the promoter of UTCs and is working with the Department for Education throughout this application process. Applicants are strongly encouraged to discuss their application with BDT, who will be able to offer advice and support.
- If you want to explore the best possible location for your UTC then support is available from the School Kit online tool developed by Partnership for Schools at: <http://fsk.partnershipsforschools.org.uk/default.htm>.
- Advice and guidance on how to find potential UTC sites, as part of developing your application, is available from Partnerships for Schools by contacting them by e-mail on: [FreeSchools@partnershipsforschools.org.uk](mailto:FreeSchools@partnershipsforschools.org.uk)
- If you have any technical problems with this guidance, the DfE website or any of the forms, please contact the Department for Education by calling 0370 000 2288 or visiting our website at <http://www.education.gov.uk/help/contactus>

### Further information and key documents

8.2 There are a range of websites and documents that you may find useful when writing your UTC application, including:

#### **UTCs 'How to Apply' guidance and financial templates:**

<http://www.education.gov.uk/schools/leadership/typesofschools/technical/a00198986/utc-application>

#### **Frequently Asked Questions about UTCs:**

<http://www.education.gov.uk/schools/leadership/typesofschools/technical/a00198986/utc-application>

#### **Top tips for UTC applicants:**

<http://www.education.gov.uk/schools/leadership/typesofschools/technical/a00198986/utc-application>

#### **Information on existing UTC projects:**

<http://www.education.gov.uk/schools/leadership/typesofschools/technical>

**Model UTC funding agreement:**

The model will be uploaded on the Department for Education's website in the coming weeks at:

<http://www.education.gov.uk/schools/leadership/typesofschools/technical/a00198986/utc-application>

**Model UTC memorandum and articles of association:**

<http://www.education.gov.uk/schools/leadership/typesofschools/technical/a00198986/utc-application>

**Academies Financial Handbook:** [http://readingroom.ypla.gov.uk/ypla/ypla-academies\\_financial\\_handbook-gn-nov06.pdf](http://readingroom.ypla.gov.uk/ypla/ypla-academies_financial_handbook-gn-nov06.pdf)

**Behaviour and exclusions policy and guidance:**

<http://www.education.gov.uk/schools/pupilsupport/behaviour/behaviourpolicies>

**Charity Commission guidance:**

<http://www.charitycommission.gov.uk/publications/cc3.aspx>

**Companies House:** <http://www.companieshouse.gov.uk/>

**Department for Education Procurement Guidance:**

<http://www.education.gov.uk/freeschools/b0073235/procurement-guidance-for-free-schools/>

**Equality Act 2010:** <http://www.legislation.gov.uk/ukpga/2010/15/contents>

**Governance Guidance:** [www.education.gov.uk/schools/leadership/governance](http://www.education.gov.uk/schools/leadership/governance)

**Partnerships for Schools:** <http://www.partnershipsforschools.org.uk> .

PfS have devised an online map browser that allows users to explore potential sites for their new UTC: This can be accessed here:

<http://fsk.partnershipsforschools.org.uk/default.htm>

**School Admissions Code:** We are revising both the School Admissions Code and the School Admissions Appeals Code at the moment. The new codes are due to come into force in February 2012 and will affect the allocation of places for children starting school in September 2013. Please use the draft codes when developing your application:

<http://www.education.gov.uk/schools/adminandfinance/schooladmissions/a00199845/departmental-response-to-the-consultation-on-changes-to-the-admissions-framework>

**Special Education Needs Code of Practice:**

<https://www.education.gov.uk/publications/standard/publicationDetail/Page1/DfES%200581%202001#downloadableparts>

# Annex A: School Funding Overview

## Review of school funding

The approach to and levels of school funding are currently being reviewed. The funding that UTCs will receive from 2012/13 onwards therefore has not yet been agreed. The information set out below and in the financial template is based on the funding figures and approach used in 2011/12. This is likely to change, and therefore the information set out below and in the template should be considered illustrative only. No guarantee can be given at this point about the approach that will be used and the levels of funding that will be received from 2012/13 onwards. In particular, it is likely that levels of start-up funding will be lowered.

## School funding explained

Funding is currently allocated to schools on a per pupil basis. The more pupils you have, the more funding you get. This is why having evidence of demand for your school is so important. If your school does not have enough pupils it will be very difficult for you to pay for staff and the upkeep of the building.

## Start-up funding

Start-up funding is intended to bridge the gap between a school opening and there being pupils in each year. This funding should enable a new school to cover essential costs when a school first opens, such as employing a head teacher and buying books and equipment, where these costs could not otherwise be met by the per pupil funding.

There are currently two main types of start-up funding:

- formulaic funding; and
- staffing diseconomy funding.

Formulaic funding is based on a standard formula and will be the same for all schools depending on the number of pupils. This currently includes funding for books, materials and equipment, recruitment costs after you have opened and some initial senior staff training. These formulaic elements will automatically complete in the financial template once you have entered pupil and teacher numbers.

Staffing diseconomy funding is worked out on a school by school basis and is designed to help meet the costs of employing senior staff when the school opens. The amount of funding currently depends on the way year groups build up and which senior staff are essential for schools to operate.

The staffing diseconomy lines of the spreadsheet are blank for you to complete. You will need to estimate how much diseconomy funding your UTC may need while building up year groups. As a guide, a school which has 500 pupils and is starting with 100 pupils will have 20% of its pupils in the first year, so might expect diseconomy funding to cover up to 80% of the principal designate's salary in the first year.

Diseconomy funding should be used to fund only the minimum **essential** posts.

## **Lead-in funding**

If your application is approved it is likely that you will be eligible for funding to help you get your UTC ready to open. This funding is known as lead-in funding. It can currently be used to help develop detailed plans for the UTC including the curriculum, recruiting a principal designate, running a consultation on the proposed UTC, and attracting pupils.

This funding is **not** covered by the financial template, and you do not need to include this as part of your application. We will discuss this with you if you are successful. As with all types of UTC funding, groups will need to justify any need for funding, keep costs to a minimum and demonstrate how they have secured good value for money.

## Annex B: Application Checklist

| Checklist: Sections A-H of your application   |                          |                          |
|---|--------------------------|--------------------------|
|   | Yes                      | No                       |
| 1. You have established a company limited by guarantee  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. You have provided information to cover all of the following areas:   |                          |                          |
| <b>Section A:</b> Applicant details – including signed declaration  | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>Section B:</b> Outline of the UTC  | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>Section C:</b> Education vision  | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>Section D:</b> Education plan  | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>Section E:</b> Evidence of demand and marketing  | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>Section F:</b> Capacity and capability   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>Section G:</b> Initial costs and financial viability   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>Section H:</b> Premises  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. This information is provided in A4 format using Arial font, minimum 12 font size, and sections C-H of your application do not exceed 20 pages (excluding appendices)   | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. You have completed and attached appendices 1-5   | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. You have completed two financial plans using the financial template spreadsheet  | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. All relevant information relating to Sections A-H of your application has been emailed to <a href="mailto:utc.applications@education.gsi.gov.uk">utc.applications@education.gsi.gov.uk</a> by 6pm on 17 January 2012                     | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Two hard copies of the application have been sent by 'Recorded Signed For' delivery to: UTCs Applications Team, Department for Education, 3rd Floor, Sanctuary Buildings, Great Smith Street, London SW1P 3BT, by 6pm on 17 January 2012 | <input type="checkbox"/> | <input type="checkbox"/> |



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