#### Department for Education

University technical colleges application form

[Insert the name of your UTC here. Please use BLOCK CAPITALS and delete this text!]

July 2014

# Completing and submitting your application

Before completing your application, please ensure that you have read the ‘How to Apply’ guide carefully and that you can provide all the information and documentation we have asked for.

The application for University Technical Colleges (UTCs) is made up of eight sections and requires the completion of an Excel application form, an Excel financial template and a Word application form.

* **Section A:** Applicant details and declaration (Excel application form)
* **Section B:** Outline of the school (Excel application form)
* **Section C:** Education vision (Word application form)
* **Section D:** Education plan (Word application form)
* **Section E:** Evidence of need (Word application form)
* **Section F:** Capacity and capability (Word application form)
* **Section G:** Budget planning and affordability (Excel financial template and Word application form)
* **Section H:** Premises (Excel application form)

In **Sections A and B** we are asking you to tell us about your group and provide an outline of the UTC. This requires the completion of the relevant sections of the Excel application form.

In **Sections C – F** we are asking for more detailed information about the UTC you want to establish and the supporting rationale. This requires the completion of all sections of the Word application form (i.e. this document).

In **Section G** we are asking specifically about costs, financial viability and financial resilience. This requires the completion of the Excel financial template and relevant sections of the Word application form.

In **Section H** we are asking for information about premises, including information about suitable site(s) you have identified. This requires the completion of the relevant section of the Excel application form.

Failure to submit all the information required may mean that we are unable to consider your application.

**Sections A-H**, i.e. the completed Word AND Excel application forms AND the Excel financial template, need to be submitted by email to the Department for Education (by the application deadline) to:[UTC.applications@education.gsi.gov.uk](mailto:UTC.applications@education.gsi.gov.uk) please also copy in the Baker Dearing Trust (BDT) at [director@utcolleges.org](mailto:director@utcolleges.org)

The department’s system will not accept emails larger than 9MB in size. If your application is larger than this you will need to split the documents and send two emails, clearly flagging in the email subject line that you have done so.

Your application should be between 50 and 100 pages long including annexes. It should be formatted for printing on A4 paper; completed in Arial 12 point font; and include page numbers. Annexes are included within the 100 page limit and should be restricted to critical information only. Please do not include photographs, images and logos in your application (other than any demand map, if relevant).

The Excel financial template and Excel application form are excluded from the page limit.

Please include the name of your UTC in the file name for both your Word and Excel templates.

You also need to post two hard copies by ‘Recorded Signed For’ delivery to

UTC Applications Team

Department for Education

3rd Floor

Sanctuary Buildings

Great Smith Street

London SW1P 3BT

Please send a third hard copy to the Baker Dearing Trust at 4 Millbank, Westminster, London SW1P 3JA

**It is essential that the hard copies are identical to the version you email.**

|  |
| --- |
| **Data Protection:** Personal data is collected on the Word and Excel templates in order to consider an 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 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. |

# Application checklist

|  |  |  |
| --- | --- | --- |
| Checklist: Sections A-H of your application | | |
|  | **Yes** | **No** |
| 1. Have you established a company limited by guarantee? |  |  |
| 2. Have you provided information on all of the following areas: |  |  |
| **Section A**: Applicant details (Excel application form)? |  |  |
| **Section B**: Outline of the school (Excel application form)? |  |  |
| **Section C**: Education vision (Word application form)? |  |  |
| **Section D**: Education plan (Word application form)? |  |  |
| **Section E**: Evidence of need (Word application form)? |  |  |
| **Section F**: Capacity and capability (Word application form)? |  |  |
| **Section G**: Budget planning and affordability (Excel financial template and Word application form)? |  |  |
| **Section H**: Premises (Excel application form)? |  |  |
| 3. Is the information provided in A4 format using Arial 12 point font, includes page numbers and is 50 – 100 pages in total? |  |  |
| 4. Have you fully completed the budget plans? |  |  |
| 5. Existing educational institutions only: have you provided links to your most recent inspection report and performance data? |  |  |
| 6. Reapplications only: have you changed your application in response to the feedback you received on your previous application? |  |  |
| 7. Have you sent an email (of no more than 9 MB in size) with all relevant information relating to Sections A-H of your application to: [UTC.applications@education.gsi.gov.uk](mailto:UTC.applications@education.gsi.gov.uk) copying in BDT? |  |  |
| 8. Have you sent 2 hard copies of the application by ‘Recorded Signed For’ post to: UTC Applications Team, Department for Education, 3rd Floor, Sanctuary Buildings, Great Smith Street, London SW1P 3BT and a third copy to BDT? |  |  |

# Declaration – This must be signed by a company member on behalf of the company/trust

I confirm that the information provided in this application is correct to the best of my knowledge. I further confirm that if the application is successful the company will operate a UTC in accordance with

* the requirements outlined in the ‘How to Apply’ guide;
* the funding agreement with the Secretary of State;
* all relevant obligations and requirements that apply to open academies (e.g. safeguarding, welfare and bullying) – this includes statutory requirements (those that are enshrined in legislation) and non-statutory requirements (those contained in DfE guidance); and
* the [School Admissions Code,](https://www.gov.uk/government/publications/school-admissions-code) the [School Admissions Appeals Code](https://www.gov.uk/government/publications/school-admissions-appeals-code) and the admissions law as it applies to maintained schools.

I have fully disclosed all financial liabilities and the full extent of each/any debt for which the company, trust or existing school is liable.

I confirm that I am not and have never been barred from Regulated Activity within the meaning given by the Safeguarding Vulnerable Groups Act 2006. I further declare that all current members and directors of the Company have confirmed to me that they are not and have never been so barred, and that if it comes to my attention whilst I am a member or director of the Company that I or any other member or director are or have been so barred I will notify the Department for Education. I and all other members and directors of the Company understand that the Company’s UTC application may be rejected if a member or director of the Company is found to have been barred from Regulated Activity.

I acknowledge that this application may be rejected should any information be deliberately withheld or misrepresented that is later found to be material in considering the application.

**Signed:**

**Position: Chair of company / Member of company (please delete as appropriate).**

**Print name:**

**Date:**

**NB This declaration only needs to be signed in the two hard copy versions of your application. Please use black ink.**

|  |
| --- |
| Please tick to confirm that you have included all the items in the checklist. |

## Section A: Applicant details

This section is composed of entries in the Excel application form only. You do not need to write anything here.

## Section B: Outline of the UTC

This section is composed of entries in the Excel application form only. You do not need to write anything here.

## Section C: Education vision

This section is composed of free text and should be completed here, in this Word application form only. Please refer to the relevant section of the ‘How to Apply’ guidance for what should be included in this section.

C1 free text:

C2 free text:

C3 free text:

## Section D: Education plan

This section includes both a table and free text and should be completed here, in this Word application form only. Please add extra lines to the table as required. Please refer to the relevant section of the ‘How to Apply’ guidance for what should be included in this section

D1a and D1b table:

| Subject/other activity (e.g. enrichment) | Hours per week | Pre-16 (D1a), post-16 (D1b), or both | Mandatory/ Voluntary | Qualifications | Comments |
| --- | --- | --- | --- | --- | --- |
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D1a free text:

D1b free text:

D2 free text:

D3 free text:

## Section E: Evidence of need

This section includes both a table and free text and should be completed here, in this Word application form only. Please refer to the relevant section of the ‘How to Apply’ guidance for what should be included in this section.

E1 free text:

E2 table:

|  | Capacity (proposed number of places) | Demand (number of students who have said they will move) | Demand as % of capacity |
| --- | --- | --- | --- |
| Year 10 |  |  |  |
| Year 12 |  |  |  |
| Total |  |  |  |

E2 free text:

E3 free text:

## Section F: Capacity and Capability

This section is composed of tables and free text in this Word application form.

| Name, organisation and role | F1/F2: Summary of relevant experience (educational, financial, and other expertise) | F1: Role and responsibilities in pre-opening | F1: Time commitment in pre-opening (hours per week) | F2: Role and responsibilities once open (on governing body) | F2: Time commitment once open (hours per week) |
| --- | --- | --- | --- | --- | --- |
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F1 and F2a table for pre- and post- opening time and expertise. You must complete a separate line for each member, trustee/director and anyone else that is part of your applicant group. Please include CVs for all named individuals in the annex. Guidance on what should be included in each CV is in the ‘How to Apply’ guidance and a template is included as an annex to this document. Please add extra lines as required to the table.

F1 and F2b table for organisational contributions in pre- and post-opening. For each sponsor or partner organisation involved in your UTC application please give details of their contributions in pre- and post-opening against each of the headings below. This should include the input from additional staff not included in the time and expertise table above. Please add extra lines as required to the table.

| **Sponsor or partner organisation** | **F1: Contributions in pre-opening** | **F2: Contributions once open** |
| --- | --- | --- |
| Staff |  |  |
| Resource |  |  |
| Curriculum development |  |  |
| Work placements (quantified) |  |  |
| Apprenticeships (quantified) |  |  |
| Financial or other contributions |  |  |

F1c table for skills gaps in pre-opening:

| Skills / experience missing | How you plan to fill the gap |
| --- | --- |
|  |  |
|  |  |
|  |  |

F2c table for skills gaps in post-opening:

| Skills / experience missing | How you plan to fill the gap |
| --- | --- |
|  |  |
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|  |  |

F3 free text:

F4 free text:

F5 free text (existing providers):

## Section G: Budget Planning and affordability

Please refer to the relevant section of the ‘How to Apply’ guidance for what should be included in this section. You will need to demonstrate that the UTC will be viable within the expected levels of funding available both while it builds up and when it is at full capacity. You must provide an overview of how you developed your plans and the thinking behind them. As part of this, you should explain how you have delivered value for money, and describe how your budget plans support your education vision and plan.

In addition you should complete the Excel financial template.

G1 free text:

G2 free text:

You should include an overview explanation of how you approached making 30% savings and your rationale for suggesting the changes that you have. You must show how you made 30% savings for each year up to an including the year your UTC reaches steady state. As part of this, you should explain how your amended plans would continue to support delivery of your education plan and vision.

G3 table:

Please add extra lines to the table as required. You should explain in detail the actions you would take to reduce costs, the reasons for these and the approximate savings that would result.

| Budget Line (area of expenditure) | Description of how expenditure would be modified/plans adapted –changes in order of priority | Year(s) savings would apply | Savings in each year against original budget (£k) |
| --- | --- | --- | --- |
|  |  | [e.g. 2016 to 2018] | [e.g. £k (2016) £k (2017) £k (2018)] |
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| TOTAL |  |  |  |
| Total income |  |  |  |
| Rev total expenditure |  |  |  |
| Rev surplus/(deficit) |  |  |  |

## Section H: Premises

This section is composed of entries in the Excel application form only. You do not need to write anything here.

# Annexes

Please include all annexes here, in this Word application form.

F1 and F2 table for track record (copy this table as many times as you need):

| Name |  |
| --- | --- |
| Area of expertise (e.g. education, finance, marketing, etc) |  |
| Details of your last three roles including:   * Name organisation; * Position and responsibilities held * Length of time in post.   This should cover the last four years. If not, please include additional roles. |  |
|  |
|  |
| Brief comments on why previous experience is relevant, and (optionally) role played in helping to raise standards |  |
| **All except finance:** Track record data (metrics as per section F of the ‘How to Apply’ guide)  **Finance only:** Professional qualifications |  |



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Reference: DFE-00534-2014

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