University technical colleges

How to apply

October 2015

Contents

1. Things to know before you start

Vision

1.1   The government wants to improve our education system so that all children thrive and prosper, regardless of their background. The university technical college (UTC) programme, alongside the free schools programme, is helping us realise this vision. UTCs provide an opportunity for employers and universities to work together, with educational experts, to open new institutions that deliver high quality technical education in a range of specialist areas. This programme plays a vital part in meeting the skills the country needs to support economic prosperity and growth.

1.2   We have been looking at the experience of the UTC programme in its first five years of operation. In doing so, Ministers have agreed a number of changes including: increasing expectations about partnership arrangements, secondary expertise embedded in leadership and governance, and better targeting of future locations for UTCs to support stronger pupil recruitment. These changes are aimed at ensuring that we establish high quality, popular UTCs that meet the needs of the local, regional and national economy, and of parents and pupils, and are able to attract sufficient pupils. As a result, Ministers place great emphases on[1]:

- the capacity and capability of the proposer group, particularly:

  o **being part of a strong partnership** including successful secondary schools (such as a multi-academy trust or MAT). Our experience to date with UTCs and academies shows that being part of a formal partnership involving schools and, if appropriate colleges, can bring a range of benefits (see pages 8-9);

  o **relevant secondary education expertise** – experience shows this is crucial to developing a rigorous, coherent, integrated and balanced curriculum offer and education plan to deliver your education vision and secure a good or better judgement at the first Ofsted inspection;

  o **the track record and level of commitment of those in the proposer group** who run existing education provision;

  o **expertise in school finances**; and

  o **employer and university expertise in the chosen specialism(s)** and that this is linked to local, regional and/or national skills gaps/needs.

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[1] It is also important that applications demonstrate a good understanding and strong commitment to the Equality Act 2010 and the Public Sector Equality Duty, and a commitment to actively promoting fundamental British values.

- the quality of the provision when the UTC is open, including

  - a **demanding, rigorous and aspirational** education offer;

  - **secondary expertise embedded** in the leadership and governance;

  - **specialist expertise** among the teaching staff in the chosen specialism;

  - **strong governance** structures and governing body;

  - **strong financial management**;

  - the likelihood of being **graded good or better by Ofsted** at the first inspection; and

  - **strong evidence of need for the UTC in your chosen location** including potential demand from pupils of the relevant age group (depending on the particular age range you chose) and their parents, and robust plans for pupil recruitment.

1.3   We will only fund UTCs that are proposed by the strongest groups in areas where these new schools are needed most by employers, parents and pupils. This guidance includes a list of priority urban locations for this application round which do not currently have a UTC within reach. We would particularly welcome applications from these locations. UTCs must be able to attract sufficient pupils and provide value for money, especially in periods when capital funding is limited.

1.4   UTCs respond to employer demand for good technical education, are led by a variety of organisations and individuals and are governed by a majority of university and employer sponsors. Thus far, UTCs have been for pupils aged 14-19 and most university and employer sponsors think that this is the right age for a young person to choose to follow a more specialised technical route. However, in future we will be willing to consider applications for UTCs starting at an earlier age (for example 13) provided a case can be made that this will improve pupil recruitment and be of benefit to the educational landscape locally.

1.5   The Baker Dearing Educational Trust (BDT) requires UTC academy trusts to sign a licence agreement prescribing the terms for use of the UTC brand and to pay an annual subscription providing access to BDT's services and support. Further information about UTCs can be obtained from [BDT's website](#).

1.6   Applicant groups who wish to establish something different from a UTC may be interested in applying to set up a mainstream free school, 16-19 free school, a studio school, special free school or an alternative provision free school. For more information, you should refer to the [opening a free school collection](#).

1.7   This guidance contains a number of technical terms and you may find it useful to refer to the glossary in Annex B.

What is a university technical college?

1.8   UTCs are all-ability and mixed sex state funded schools, independent of local authorities. They are not extensions of, or conversions from, existing provision, but new academies, typically with 500-800 pupils in Key stage 4 and Key stage 5. UTCs specialise in subjects that need modern, technical, industry-standard equipment, such as engineering and digital technologies, and teach these disciplines alongside business skills and a broad, general education.

1.9   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 and employers, and work in partnership with other educational providers, including those with strengths in the UTC's specialist subject areas. UTCs should provide progression routes into higher education or further learning in work. This includes apprenticeships and higher apprenticeships; some UTCs may wish to consider offering apprenticeships themselves as they become established or may wish to work in partnership with apprenticeship providers. UTCs are funded on a comparable basis to other state funded schools.

UTCs: law and policy

1.10   Every UTC must comply with the legal and policy framework which governs the development of the UTC programme. There are four main sources of legal requirements for all UTCs:

- Independent School Standards legislation;

- the funding agreement;

- relevant regulation and codes of practice specific to the type of school; and

- the trust's articles of association which lay out their governance structure.

1.11   **Independent School Standards:** UTCs are academies, and as such, they are independent schools to which the Education (Independent School Standards) (England) Regulations 2012 apply.

1.12   **The funding agreement:** each UTC will enter into a contract with the Secretary of State for Education termed the 'funding agreement'[2]. In order to receive funding from the Secretary of State, UTCs must follow the arrangements and standards set out in the UTC funding agreements for single academy trusts or multi-academy trusts. Only in

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[2] 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.

exceptional circumstances will the Secretary of State deviate from these models. UTCs must also abide by the [Academies Financial Handbook](#) and it is important that you understand this information.

1.13   You should be aware of the following key requirements. UTCs must:

adopt fair practices and arrangements that are in accordance with the [School Admissions Code](#), the [School Admissions Appeals Code](#) and the admissions law as it applies to maintained schools;

- follow the statutory assessment (ie testing) arrangements as they apply to maintained schools;

- collect performance data, publish results and be subject to Ofsted inspection under the same framework that applies to all maintained schools;

- have regard to the [Special Educational Needs Code of Practice](#)[3] ; and

- provide a broad and balanced curriculum[4] including the core subjects of English, maths and science, and make provision for the teaching of religious education and a daily act of collective worship.

1.14   UTCs do not have to

- follow the national curriculum;

- employ teachers with qualified teacher status[5];

- follow local authority term dates or standard school hours; or

- comply with the provisions in the School Teachers' Pay and Conditions Document.

1.15   UTCs are judged against the same accountability system as other state-funded mainstream schools. From 2016 [Progress 8](#) will replace 5 GCSE grades A*-C (or equivalent), including English and maths, as the headline accountability measure that determines the floor standard at Key stage 4. The new measure will be based on pupils' progress measured across 8 subjects: English, maths, three other English Baccalaureate

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[3] Reforms to the SEN arrangements came into force in September 2014, including a new SEN Code of Practice. Revised duties are set out in Part 3 of the Children and Families Act 2014 and associated regulations. UTCs have the same specific duties as other mainstream schools in relation to meeting the needs of pupils with SEN, including the requirement to have a SENCO who is a qualified teacher and holds appropriate specific qualifications, to publish a SEN information report and more generally to have regard to the SEN Code of Practice.

[4] The curriculum must (a) promote the spiritual, moral, cultural, mental and physical development of pupils at the school and of society, must (b) prepare pupils at the school for the opportunities, responsibilities and experiences of later life and must (c) include English, maths and science.

[5] 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.

(EBacc) subjects (sciences, computer science, geography, history and languages); and three further subjects, which can be from the range of EBacc subjects or any other approved, high-value qualifications.

1.16   A new accountability system for 16-19 education will also come into effect from 2016 and will include a new set of rigorous minimum standards and headline measures (progress, attainment, retention, destination and progress in English and maths for pupils without a GCSE pass at A*-C in these subjects) giving a clear overview of the performance of a school or college in academic and vocational programmes compared with other institutions nationally. The changes focus more on progress and destinations than previously, and Ofsted will also take account of these two aspects. At 16-19 inspectors will look specifically at: how learners, and groups of learners, make progress from their different starting points, remain on their study programme, achieve their core aim and make progress towards a GCSE grade C in English and/or mathematics if they do not already have one, and progress on to the next stage of their careers. A broader set of additional measures will provide other important information on performance including the number of pupils achieving the Technical Baccalaureate (TechBacc). Only approved high-value vocational qualifications on our list will count for key stage 4 and key stage 5 performance tables. UTCs may also wish to offer other qualifications in addition, for example professional certificates valued by employers.

Your UTC proposer group

1.17   Applications are invited from groups that have identified strong evidence of employer, parent and pupil need. Applicant groups must include a university and employers working in partnership with others. We expect all proposer groups to have a sound understanding of the secondary educational context and be able to demonstrate how the UTC will establish and maintain high quality education provision. We therefore strongly encourage UTC applications from groups which include existing providers of secondary education with proven track records. Expertise in post-16 education (eg by involving a high performing FE College in your group) is also important. We will look at the popularity and the quality of provision at the existing school(s)/college(s) and we expect the existing provision to have been judged at least good overall in its last Ofsted inspection, and to have above average results at GCSE, including English and maths, and at key stage 5. We will also assess the existing school/college's financial record and capacity to be involved in setting up a new school.

1.18   Experience of pre-opening and open UTCs, and more widely across the academies programme, shows educational and financial benefits from working in a partnership, particularly with high performing secondary schools. **We therefore have a presumption that any future UTCs will be established with strong, preferably formalised, partnership arrangements**. This includes being established by a multi-academy trust (MAT), working closely with one, or being part of another educational partnership arrangement with good or outstanding schools.

1.19   In a change from previous application rounds, we now welcome applications from existing MATs, or proposer groups wishing to establish a MAT with at least one other high performing school. MATs are charitable companies limited by guarantee which run more than one academy. The board of trustees is accountable to the Secretary of State for all the academies in the trust through the master funding agreement. MATs can pool their resources across their schools, share staff and deliver a wider curriculum offer, provide greater staff development and progression opportunities, benefit from economies of scale through centralising administrative functions and procurement, and generally share best practice between their schools. Furthermore, when a UTC is part of a MAT this can help with pupil recruitment, particularly when admitting at the atypical age of 14, since other schools in the MAT can act as feeder schools for the UTC and identify pupils that would benefit from the more technical education available at the UTC. If the applicants intend that the UTC should be part of a MAT, a formal commitment will be required that the majority on the local governing body will be nominated by the employers and the university.

1.20   In addition, we would welcome applications from groups wishing to work with MATs, but not wishing formally to join the MAT itself. In such cases, it will be important for the application to set out the nature of any governance arrangements, and on what basis the services will be provided and how benefits of working with the MAT will be secured.

1.21   Groups wishing to work with other forms of school-to-school partnerships, such as teaching school alliances, are welcomed. Though such partnerships are not a single legal entity like a MAT, they can also offer collaborative benefits including a shared ambition to raise aspiration across their local area, and can offer similar pupil recruitment support arrangements. Again, in such cases it will be important that the application sets out how the UTC will secure the support of, and the services from, the wider partnership. The application should also set out clearly any supporting governance or procurement arrangements.

2. Getting started

2.1   Setting up and running a UTC is challenging and 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 sub-regional need, from employers, parents, and pupils, for the particular UTC you want to set up. A list of priority locations where there is currently no UTC within reach is given at page 17. You should also consider any local developments in your chosen location such as planned area-based reviews of post-16 provision (see also page 17);

- the appropriate age range for your UTC which is most likely to deliver your vision;

- how you and your partners will ensure successful recruitment of pupils, recognising that this is one of the greatest challenges faced by UTCs that are already open;

- the level of commitment, at both the individual and organisational levels, which each party – including the employers, university and secondary education partners – will have in setting up and running the UTC;

- the relevant skills and experience, including school-aged educational expertise, each party has to set up and run a UTC;

- whether you have plans to join up with a MAT, or other high performing formal school-to-school partnerships, to gain access to secondary education support and the wider benefits of shared services. And how that partnership will be organised and governed to ensure the employer and university sponsors have appropriate control and can access sufficient expertise;

- whether you need to access any additional expertise and how you might secure this; and

- potential sites for your UTC.

2.2   The Baker Dearing Educational Trust (BDT) established the UTC model. BDT are funded by the department to help groups prepare applications. Applicants are strongly encouraged to discuss their application with BDT, who will be able to offer advice and support. Groups also may wish to discuss the availability of potential high quality educational partners, including MATs or groups wishing to establish a MAT, with their regional schools commissioners (RSCs).

Organising your group

2.3   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 need 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. Groups may be able to identify external organisations or individuals who are willing to provide them with support free of charge.

2.4   You will need to demonstrate that your group has sufficient capacity and capability and a good track record to deliver your UTC through pre-opening. In particular, this means you must have the education expertise at pre- and post-16 (as appropriate) to build the UTC's education plan and measure its success; finance expertise to create the UTC's financial plan; project management expertise to ensure the project's successful progress; and communications and marketing expertise to build and maintain support among prospective pupils and their parents. As explained above, there is a now a presumption, based on experience to date, that UTCs should be part of a strong partnership arrangement. We strongly encourage you to consider joining up with a MAT (either formally or by working in partnership with one) or high performing, formal school-to-school partnership, as these arrangements can provide access to a range of such support.

2.5   Groups may also appoint a third party to provide support through an open and competitive tender process. In doing so, all procurement decisions must be open, transparent and comply with the Academies Financial Handbook. However, you **must not** enter into any contracts in the expectation of public funds. If you have been assisted in writing your application by any individuals or organisations that are not part of your trust, you should explain how you will secure such support if you are approved.

2.6   Each UTC must be established on a solid legal footing and be underpinned by strong corporate governance arrangements, including for financial oversight. Each UTC is run by an academy trust, a charitable company limited by guarantee, formed specifically to establish and run a UTC or academy[6]. 'Limited by guarantee' means that the personal liabilities of the members who establish it are restricted. The academy trust is the body that submits the application to open the UTC.

2.7   An academy trust is made up of members and trustees. The members are akin to the shareholders of a company. The members are the original subscribers to the trust's memorandum of association, and any other individuals permitted under its articles of association. Members have the power to appoint and remove trustees. To set up your trust you will need three or more members[7], referred to as the 'founding members'. An employee of the UTC/trust may not be a member.

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[6] This is a requirement under the Academies Act 2010.

[7] Academy trusts should be established with three signatory members with the department encouraging trusts to have at least five members in total, as it ensures enough members can take decisions via special

The members appoint the trustees of the trust, and you will need to name at least one trustee to set up your trust. The trustees are responsible for the oversight of the operation of the trust and governance of the UTC, including the three core functions common to all governing bodies. These are: setting the strategic direction, creating robust accountability for the performance of the school and ensuring best use of financial resources. They are also responsible for ensuring compliance with charity and company law and the funding agreement agreed with the Secretary of State. A note on terminology: the trustees of an academy trust are also the company directors[8].

2.8   Individuals who are members can also be trustees. In academy trusts the most robust governance arrangements will retain at least some distinction between the members and the trustees.

2.9   For UTCs which are planning to join a multi-academy trust, MATs will establish local governing bodies to which the trustees can delegate certain functions. Individuals on the local governing body are referred to as local governors. For UTCs, we would expect the majority of local governors to come from nominees of the employer and university sponsors. Local governors are not trustees (unless they also sit on the board of the MAT). While MATs can delegate functions to local governing bodies, they remain accountable and responsible for these functions.

Establishing your academy trust

2.10   To establish your academy trust, your founding members will need to sign legal documents called a memorandum of association and articles of association. The articles set out the trust's constitution and provide a framework for its governance arrangements.

2.11   The department's model articles take into account best practice in corporate, charity and school governance. For this reason, the department expects proposer groups to establish their academy trust using the model articles before they apply to open a UTC. For UTCs joining with multi-academy trusts or wishing to become part of a new multi-academy trust, there will be different arrangements. Existing MATs will already have their own articles, and existing single academy trusts will be expected to move onto the department's model multi-academy articles.

2.12   You need to submit a completed model memorandum and articles of association to Companies House, along with an application to register a company and the relevant fee, using a guide from Companies House.

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resolution (which requires 75% of members to agree), without requiring unanimity and facilitates majority decisions being taken by ordinary resolution (which requires a majority of members to agree).

[8] Charity Commission guidance on the role of trustees

2.13   The department's model articles include a 'charitable object'. This means that your trust will become a charity from the moment it is registered with Companies House (the date of incorporation). Once your UTC opens (on the first day of term) your company will become an 'exempt' charity. This means that the Principal Regulator will be the Secretary of State, as is the case for all academies. The [Academies Financial Handbook](#) provides more information on requirements on academy trusts resulting from this. You are not required to and should not register your company, its members or trustees (directors) with the Charity Commission.

2.14   You may establish a single or multi-academy trust to set up your UTC. **However, if you establish a single academy trust, as we have said earlier in this guidance, we encourage you to work in partnership with a strong academy or group of schools** when developing your proposal and continue this partnership when open (especially in the period up to your first inspection).

Financial accountability

2.15   Academy trusts are subject to public accountability requirements. They must ensure public money is used effectively and comply with a number of legal requirements and UK government regulations.

2.16   All academy trusts must appoint an accounting officer, usually the principal, who is personally responsible to Parliament and to the accounting officer of the Education Funding Agency (EFA) for the resources under their control. They must establish appropriate financial management, governance and audit arrangements in accordance with the requirements of the Academies Financial Handbook. The EFA is responsible for providing assurance to Parliament that the funds it has provided to UTCs have been used for the purposes intended. Assurance is primarily sought and gained through the financial returns made by UTCs.

2.17   As companies limited by guarantee, academy trusts must prepare annual financial statements and submit them to Companies House within the required deadlines. The Academies Accounts Direction is published annually and sets out the form which academy financial statements must take, incorporating the requirements of company, charity and public sector financial reporting. The model UTC funding agreement requires academy trust financial statements to be audited by an external auditor and submitted to the Secretary of State via the EFA by 31 December each year.

2.18   Academy trusts must also submit an annual budget return to the EFA. As public sector bodies within the Department for Education accounting boundary, academy trust budget forecasts and financial results are consolidated into the EFA and the department's forecasts and results, for the purpose of providing expenditure estimates to Parliament and for the Whole of Government Accounts, a legal obligation on the UK public sector. The National Audit Office is the group auditor for the Department for Education.

2.19   These regulations require that all potential suppliers are given a fair opportunity to seek business and make competitive offers. Therefore, there can be no guarantee that organisations or individuals offering support in the preparation of applications will be offered contracts should the application be approved.

Conflicts of interest

2.20   One of the most important tests of a trust's capability is how well it plans to and manages conflicts of interest. A conflict of interest can be defined as: 'Any situation in which a person's personal interests, or interests that they owe to another body, may (or may appear or be perceived to) influence or affect their decision making.'

2.21   Conflicts are most likely to arise when a trust is considering awarding a contract to an individual or organisation in which one of its members or trustees has an interest. By considering your plans for contracting work (pre-and post-opening) you will be able to act **before forming your trust and recruiting your trustees** to minimise the risks of a conflict. This will include ensuring that

- bodies that sponsor or promote schools do not derive a financial profit from doing so;

- any individual or organisation represented as a member of the trust, or with influence over the trust, understands that they will only be able to bid for contracts from the trust on an 'at cost' basis. This is in line with the requirements set out in the Academies Financial Handbook and applies to all academy trusts;

- there is sufficient challenge within the trust, with independent members and trustees, capable of holding suppliers to account;

- trustees and members comply with the protocols set out at articles 6, 97 and 98 of the model articles. These protocols ensure that decisions are taken without bias and that individuals who are 'conflicted' take steps to avoid influencing a decision;

- the trustees establish and maintain a register of interests to identify and record potential areas of conflict; and

- trustees understand the need for all procurement to follow an open and fair competition, following our guidance on procurement. The Academies Financial Handbook also includes guidance on conflicts of interest and appropriate procurement.

2.22   Conflicts of interest may also arise if family or other personal relationships between the individuals running an academy trust make it hard to hold an individual to account. For example, if a husband and wife were to take the roles of chair of the board of trustees and principal, it may be more likely that decisions will be influenced by shared interests or views, and not taken in the best interests of the trust.

2.23   It is important to note that even the **perception** of a conflict can create negative publicity and could affect your UTC's reputation and ability to recruit pupils.

Recruiting trustees

2.24   The application process also asks you to confirm how many trustees you will appoint, and to provide information on any individuals you have already appointed as trustees. Our expectation is that the university and employers who will be crucial to the governance of your UTC once open will take an equally active, if not more active, part in the work of setting up the UTC before it opens, and share the burden of practical as well as strategic work. However the challenges of pre-opening are different from those faced by the trustees of an open UTC, so you will need to consider carefully the specific skills and expertise you will need at each stage, and how to fill the gaps. No matter how vital a contribution you believe someone will make during pre-opening, you should not guarantee them a seat on your board of trustees. As a guide, a trustee, including all university and employer trustees, will be expected to do the following:

- have the relevant educational knowledge and confidence to challenge the senior leadership team of the school; acting as a critical friend to maintain focus on improvement; and holding them to account;

- use attainment and other data (in particular the Ofsted dashboard and RAISE online) to assess the school's progress, strengths and weaknesses;

- be independent of mind, with the confidence and experience to drive through change, for example in making the case for, and implementing, the freedoms open to academy trusts around the curriculum and the school day;

- use financial and workforce data to inform decision making about the trust's spending commitments, to ensure the trust makes appropriate and effective use of public money; and

- maintain the highest professional standards as a trustee, exemplifying the seven principles of public life as set out by the Nolan Committee.

2.25   The number of trustees should be determined by the experience and skills needed to manage your academy trust and drive improvement in your UTC. The larger the board of trustees the harder it may become to achieve focused discussion and clear decisions. As a general rule the department recommends no more than 13 trustees. We require that for single academy trusts the majority of members and trustees should be representatives of the employer and university sponsors (for MATs they should form the majority of the local governing body). The department expects that some trustees will have secondary education expertise.

2.26   If you are proposing to set up a single academy trust, you will need to specify how many trustees will be appointed by the members. You may find that accommodating every stakeholder and supporter on the board of trustees would take you above 13

trustees. However, **there are other ways to engage people with expertise**, or (for instance) to engage additional employers, by using committees and advisory bodies. For example, you might ask someone with HR experience to join a finance and resources sub-committee, or you might create informal advisory bodies to give a voice to community groups, parents or pupils.

2.27   You will not be expected to have filled your entire board of trustees by the start of pre-opening. A trustee's term of office is often four years (although can be less to ensure that not all trustees' terms of office end at the same time), so it is better to take time in pre-opening to recruit high calibre trustees with the right skills for an open UTC. You can recruit your parent trustees during the first term after opening. You will be expected to have carried out a skills audit to assess what strengths and gaps exist across your project group and any trustees you have already appointed. Please note that all trustees, however they are appointed or elected, must be formally appointed as directors of the trust; and that a person who is not a director cannot act as a trustee.

Suitability of applicants and applications

2.28   The Secretary of State will seek to ensure that only suitable persons are permitted to establish publicly funded UTCs and will seek confirmation that no member or director of the academy trust has been barred from Regulated Activity[9]. She will consider each application on its merits, and take into account all matters relevant to the application. She 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 those individuals who will act as members and trustees, and the school itself, will ensure that principles are promoted which support fundamental British values, including: respect for the basis on which the law is made and applied in the United Kingdom; respect for democracy and support for participation in the democratic processes; support for equality of opportunity for all; support and respect for the liberties of all within the law; and respect for and tolerance of different faiths and religious and other beliefs. This is a legal requirement, and further guidance can be found in our advice on how schools should support pupil's spiritual, moral, social and cultural development..

Priority locations for UTCs

2.29   The technical education offered by UTCs, with the strong involvement of employers and universities, is vital to meeting the skills needs of the economy. We are therefore committed to opening strong and successful UTCs, and to have one within the

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[9] Regulated Activity within the meaning given by the Safeguarding Vulnerable Groups Act 2006.

reach of every city. Our experience suggests that UTCs will have a better chance of succeeding and attracting pupils if they are located in areas where

- there is a large population of primary and secondary aged children and 16-19 pupils within the catchment area to ensure current and future viability;

- there is no other similar technical provision (including UTC provision) within reasonable travelling distance of the proposed site;

- public transport links are good; and

- existing secondary schools are at capacity and/or underperforming (underperforming schools are usually classed as schools rated as 'requires improvement' or 'inadequate' and/or have low pupil attainment and progression results).

2.30   For this application round, we have identified five priority, urban locations for future UTCs where there is currently no UTC provision within reach. We would welcome high quality applications from these locations that meet the assessment criteria in Section 5. These are

- Blackpool/Fylde

- Bournemouth/Poole area

- Leicester

- South Essex (covering Basildon, Castle Point, Rochford, Thurrock and Southend-on-Sea)

- Worcester

2.31   Applicant groups considering developing a proposal for a UTC in one of these priority locations, but who will not be able to complete all the necessary work in time for this application round deadline should register their interest with BDT. Information on future application rounds will be published on GOV.UK.

2.32   Applications are also welcome from outside these priority locations (including from existing UTCs wishing to establish a second UTC).

Area-based reviews of post-16 institutions

2.33   The government policy document: [Reviewing Post-16 Education and Training Institutions](#), published in July, set out plans for area-based reviews of post-16 institutions. The focus is on FE and sixth-form colleges, but each review will take into account the availability and quality of all post-16 provision in each area. Each area review is intended to establish the right set of institutions to offer high quality provision which meets the current and future needs of learners and businesses within a local area. The reviews will provide an opportunity for post-16 institutions and localities to restructure their provision

to ensure it is tailored to the changing context and delivered with maximum efficiency. Information on these area-based reviews can be found [in our guidance on area based reviews](). We encourage you to find out when a review is taking, or has taken, place in your preferred location, and any potential impact on your application. We will take account of any relevant area-based review developments when considering your application.

3. Preparing and submitting your application

What happens when

Application window	Likely interview period	Successful applicants announced
9am on 25 January – 12 noon on 29 January 2016	28 March – 8 April 2016	May 2016

3.1 Completed applications **must** be submitted to us within the application window in the table above.

Submitting your application

3.2 You must submit **Sections A-H**, (Word and Excel documents), within the application window for them to be considered.

3.3 You need to submit a **copy by email** to the address UTC.applications@education.gsi.gov.uk, copying in the Baker Dearing Educational Trust at director@utcolleges.org, by **12 noon on Friday 29 January 2016**. Please note that the size of your email should not exceed 9MB. Anything larger than this will not be delivered. If the application is larger than 9MB you should split the documents and send two emails, clearly flagging in the email subject line that you have done so.

3.4 You also need to submit **two hard copies** (Word and Excel documents) by **'Recorded Signed For'** post, to arrive by **12 noon on Friday 29 January 2016**, to:

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

And **one hard copy** by post to:

Baker Dearing Educational Trust, 4 Millbank, London, SW1P 3JA

3.5 It is essential that the hard copies you provide are identical to the electronic version you email.

3.6 The Word application form should be between 50 and 100 pages long, including annexes; formatted for printing on A4 paper; completed in Arial 12 point font; and include page numbers. Please do not include photographs, images and logos in your application (other than any demand map, if relevant).

3.7 The content of the Excel templates is excluded from the page limit.

4.   Application assessment and interviews

Assessment of your application

4.1   We will assess your application

- against the criteria set out below;

- against other UTC applications; and

- against a range of contextual factors including value for money, how your proposed UTC will make use of academy freedoms to improve standards in the local area and relevant developments in area-based reviews of post-16 provision.

4.2   It is essential that you read the assessment criteria at Section 5 before starting your application. Under each criterion we have included a description of what you should include in your application.

4.3   All criteria are important and groups should complete their entire application with care and consideration. The capacity and capability of your group and the need for your school will both be critical to your UTC's success. Therefore, we will look at these two elements of your application first. **If your group's capacity or capability is not strong – including if established education providers within your group do not have a good track record – or if you are unable to demonstrate a clear need or sufficient demand for the UTC, it is likely that your application will not be considered further and you may not get feedback on the other sections. We expect applicants to set out clearly how each partner or sponsor organisation, including employers and the university, and their named representatives will engage with the UTC both in pre-opening and once open.**

4.4   If you plan to use policies from another school or education provider you must be transparent about that (cite your sources), and explain your rationale for doing so. If you do not and we subsequently discover you have sourced material from elsewhere, you may not receive any scores for that section of your application.

Interviews

4.5   If your application is assessed as one of the strongest, we will invite your group to an interview. Please see page 19 for the period in which we expect to hold interviews.

4.6   Interviews will be tailored based on the quality of the application, and the strength and track record of the proposer group.

Decisions and pre-opening

4.7   On page 19 we set out when we expect to announce decisions.

4.8   If the Secretary of State decides your application should progress to the pre-opening stage, we will provide you with a dedicated point of contact from the Department for Education, along with support from the EFA to help secure a site and open your school.

4.9   **Please note that approval of your application to pre-opening does not mean approval of every detail, including your financial plans, preferred principal designate, proposed site or budget.** Approval may be conditional on amending certain aspects of your application.

4.10   There will be a **significant** amount of work to complete between the approval of your UTC application and your UTC opening. Therefore, you should be clear that every member of your group, including the representatives fielded by employer and university partners, is able to commit the time necessary to do this throughout the time period the project will spend in pre-opening. If you employ a principal designate, senior staff, or procure project management support, you will need to oversee their work.

4.11   We will provide a project development grant (PDG) to groups whose applications are approved to the next stage. The current rate is £300,000. However, if you are part of a MAT and are opening more than one new school in the same academic year, we expect there is scope to realise efficiencies in expenditure so the PDG for additional schools will be reduced. This grant is to help cover everything that groups will need to buy up to the point that the UTC opens. This will include the cost of any project management and education support required and other costs such as recruiting and paying a principal designate. This grant will supplement the pro-bono contributions and resources of the UTC sponsors. The project development grant does not cover capital costs and these are funded separately. We will ask you to submit a budget plan to show how you will spend this money in pre-opening and we will ask you to submit regular statements of expenditure.

4.12   During the pre-opening phase the department will seek to deliver your school with the lowest possible capital cost (acquisition and property costs, plus the costs of necessary works and fit out). Your EFA project director will discuss this with you in due course.

4.13   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. In previous rounds some applications have been approved after interview but then failed to progress sufficiently or to recruit enough pupils. In some cases a funding agreement could not be signed, the project did not go ahead and the UTC did not open. In other cases, the opening of the UTC had to be delayed by a year. This demonstrates the immense importance and challenge of the pre-opening phase.

Appeals and reapplying

4.14   Decisions by the Secretary of State are final and there is no formal appeals process.

4.15   If your application is not successful, you will receive a feedback letter giving more information about the judgement.

4.16   If you are reapplying after being unsuccessful in a previous round, we expect you to demonstrate under the relevant sections of your new application how you have changed your application in response to the feedback you received. If this feedback is not addressed to our satisfaction, it is likely that your application will not be considered further, and you may not get full feedback on the new application.

5. Application form sections and criteria

5.1   Personal data is collected on the Word and Excel application forms 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.

5.2   Your Word application should be between 50 and 100 pages long, including annexes. The contents of the Excel templates are excluded from the page limit.

Section A: Applicant details

5.3   In this section (in Excel) we ask you for basic information about your group and your company limited by guarantee. There are no assessment criteria for this section.

5.4   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 in accordance with the Data Protection Act 1998.

Section B: Outline of the school

5.5   In this section (in Excel) we ask you for key details on the UTC you are proposing. There are no assessment criteria for this section.

Section C: Education vision

5.6   Your education vision should describe why you want to set up your particular UTC in the particular area you have identified, its core features and the pupils you intend to cater for. You should tell us, in your own words, about the overarching vision for your UTC and how it informs your education plan. Your application should be coherent and consistent throughout and work together as a cohesive whole. You will need to demonstrate in later sections that the vision is both deliverable and affordable within the funding allocated to UTCs.

C1: A credible proposal to deliver a high quality UTC and a clear rationale for establishing it in this sub-regional area, including showing how the UTC will be separate and distinctive from any of the sponsors

Free text in the Word template. You must

- include a brief explanation of why you are seeking to establish your UTC in this particular area. Please explain why you have selected the key features of your UTC, the age range, approach to teaching and learning, and the location. A list of priority locations for UTCs in this application round is given on page 16 but we will also consider applications outside these priority areas if they are supported by compelling evidence of need and potential pupil/parental demand;

- provide a detailed explanation of the rationale for the proposed specialism(s), including how they are based on national and local demand from employers and, specifically, how they will lead to employment opportunities which require the technical knowledge and skills the UTC will teach;

- demonstrate that your vision is deliverable (this will be assessed across your whole application but needs to be clearly set out in this section), and consistent with the rest of your application;

- show how your UTC, with support from secondary education experts[10], will offer a high quality education (eg that you have set high ambitions for standards of teaching and pupil outcomes, including attainment and progression into employment, higher education and/or apprenticeships) and a strong technical focus; and

- explain how your UTC will be a clearly separate institution in governance terms[11], and offer a distinctive curriculum, from any of the sponsors.

We will assess the quality of the case you make in demonstrating how your UTC will:

- add to the choice/diversity of provision by offering specialisms unavailable elsewhere in the area;

- offer high educational standards and improve the local pre and post-16 educational offer, attainment, and progression, underpinned by strong educational

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[10] By secondary education expertise we would expect groups to include individual(s) with recent experience in a leadership role in a high performing school. Expertise sourced solely from a university's educational department would not be sufficient.

[11] For those applications planning to be part of a MAT, this refers to the composition of the local governing body.

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C1: A credible proposal to deliver a high quality UTC and a clear rationale for establishing it in this sub-regional area, including showing how the UTC will be separate and distinctive from any of the sponsors

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expertise;

- respond to educational, parental and pupil need, and employers' needs; and

- make use of academy freedoms to improve standards in the local area.

You will be rated more highly if you can make a compelling case that your UTC will address most of these factors.

C2: Set out a clear identity for the UTC, which utilises the expertise of the employer sponsor(s)

Free text in the Word template. You must

- include letters from all the employer sponsor(s) named in the Excel form, and any other employers you are working with, confirming what support they will offer the UTC, at both the individual and organisational level, before and after it opens (these letters should go in an annex).

We will assess the quality of the case your letters and application make in

- showing how the identity and operation of the UTC will be driven by the employer sponsor(s), and what those employers will do, including staff and resource inputs, work placements, any plans for delivering apprenticeships and higher apprenticeships (or offering via sponsors progression routes to them), and financial and other contributions; and

- explaining what impact this will have on pupils, and what impact it will have on the employer sponsor(s)' own priorities.

C3: Set out a clear identity for the UTC, which utilises the expertise of the university sponsor(s)

Free text in the Word template. You must

- include letters from all the university sponsor(s) named in the Excel form, and any other universities you are working with, confirming what support the university and its staff will offer to the UTC before and after it opens (these letters should go in an

annex).

We will assess the quality of the case your letters and application make in

- showing how the identity and operation of the UTC will be driven by the university sponsor(s), and what the university will do;

- explaining what impact this will have on pupils; and

- showing how named staff and the different parts of the university will support the different elements of the UTC's work

Section D: Education plan

5.7   This is the heart of your application. Your education plan must explain how your UTC will achieve its education vision and set out your high level strategies. In order to describe how you will achieve your vision, you will need to describe your expected pupil intake; their prior attainment and circumstances; and your expectations, where possible, of their achievement against the new accountability measures referred to on page 7, and against any other measures of success that are important to your group.

5.8   As well as being achievable, your education plan must be affordable within the funding allocated to UTCs, and consistent with your financial plans.

5.9   In previous application rounds, proposer groups without appropriate school-aged educational expertise have fallen short in adequately describing their education plans: for example not describing clearly or in sufficient detail, how the curriculum will integrate core academic subjects with technical learning, how it will map onto appropriate and relevant qualifications and how performance will be measured, both in terms of the department's new accountability framework, and the UTC's own specific measures. If you are invited to interview, all prospective trustees should aim to have this understanding as it will be needed in pre-opening.

5.10   Please describe your curriculum plan for pre-16 pupils **(D1a)** and your curriculum plan for post-16 pupils **(D1b)** separately. They will be assessed separately and carry equal weight.

D1 An ambitious and deliverable curriculum plan for

(a) pre-16 pupils, and

(b) post-16 pupils,

that is consistent with the vision and pupil intake and has an appropriate focus on the technical specialisms

Free text and Word table. For both **D1a** and **D1b**, you must

- demonstrate that your proposed curriculum will be deliverable;

- have a suitable emphasis on the technical specialisms;

- complete the table in the Word form, showing for pre-16 and for post-16;

    - a list of subjects to be offered with the associated qualifications and the number of hours spent per week on each; and

    - the length of the school day, including any enrichment time, making a distinction between compulsory and voluntary activities.

For both **D1a** and **D1b**, we will also assess the quality of the curriculum plan by how far it demonstrates

- an understanding of the expected pupil intake and their needs;

- your rationale for the type of curriculum proposed. Please explain how it meets the needs of the expected intake, whilst having an ambitious approach to meeting those needs;

- strategies to assess and meet the needs of all pupils including looked after children, those requiring literacy recovery/intervention (including English as an additional language), the most able (gifted and talented) and those with differing degrees of special educational needs;

- a clear role for the SENCO;

- strategies to ensure pupils make a successful transition into the UTC, and progress successfully onwards (in further education and/or work). If your curriculum plans map to entry requirements for specialist education, employment and training opportunities you have identified as progression routes, you should explain how this works;

- employer and university involvement in both the design and the delivery of the curriculum;

D1 An ambitious and deliverable curriculum plan for

(a) pre-16 pupils, and

(b) post-16 pupils,

that is consistent with the vision and pupil intake and has an appropriate focus on the technical specialisms

- a clear strategy to integrate core academic subjects and technical learning, with examples that illustrate the nature of the technical specialism(s) and specifically what you are going to teach; and

- an appropriate enrichment programme.

For pre-16 **(D1a)** your curriculum must be broad and balanced, including English, maths, and science, and you must offer appropriate qualifications.

For post-16 **(D1b)** this should show what subjects will be covered, the range of appropriate qualifications offered and how these will meet the needs and interests of all pupils. Applicants should also set out any plans for delivery of apprenticeships and planned progression routes into higher apprenticeships where these are available locally in the chosen specialisms.

D2: Measuring pupil performance effectively and setting challenging targets

Free text in the Word template. You must

- describe how you will establish a baseline of pupils' current level of attainment (including external validation of this), and of their previous levels of attainment, in order to put in place an assessment and data tracking system that will allow pupil performance to be monitored;

- have a headline set of clear, ambitious and realistic targets for pupil performance, progression and behaviour and attendance, explaining why they are suitable to measure the delivery of your education vision, and what your strategy will be to achieve them; and

- demonstrate how you will review the success measures and targets to improve the UTC's performance.

We will also assess the quality of the case you make in demonstrating that your UTC will

- differentiate its targets for achievement and for progression according to pupils'

D2: Measuring pupil performance effectively and setting challenging targets

current and previous levels of attainment, different groups of pupils (including those with special education needs or disabilities (SEND) and looked after children etc.) and use this data to inform teaching and drive achievement;

- have a clear focus on measuring and improving quality of teaching in the classroom;

- have a clear strategy to liaise with and report progress to parents; and

- have a clear focus on success in terms of progression to education, employment, and training related to the specialisms

D3: A staffing structure that will deliver the planned curriculum within the expected income levels

Free text in the Word template. You must

- demonstrate how you will phase your staffing structure to deliver a curriculum which is suitable to your early years of operation and affordable, while the UTC is growing towards full capacity. Provide diagrams showing the proposed staffing structure each year until full capacity (the diagrams can go in an annex);

- set out how you will attract and recruit a high quality principal, with relevant experience and a credible track record of secondary school leadership. Please provide a timeline, role description, recruitment strategy and any CPD plans (any documents you include can go in annexes);

- provide an affordable, consistent staffing structure for when the UTC is at full capacity, which is sufficient to deliver the curriculum plan, and is underpinned by appropriate CPD and peer support.

We will also assess the quality of the case you make in demonstrating that

- the staffing structure and leadership plans include an appropriate balance of roles, experience and expertise eg senior leadership team, teachers, non-teachers etc; and

- you have credible contingency plans to adapt your staffing structure if income were to be less than expected (consistent with your contingency plans in G3).

We will use your financial plans to assess whether the staffing structures you propose are affordable. You do not need to provide a commentary on affordability in this section.

Section E: Evidence of need and demand

5.11   We will assess whether there is need for your UTC by considering; demand from employers for school leavers with the particular knowledge and skills your UTC will provide; the educational context of your proposed location; and the demand from parents and pupils and the demand from employers in the chosen specialism. This will include considering what other provision, in the broad specialist sectors you offer, is available in your area, and any planned changes (eg following post-16 area-based reviews).

5.12   In considering the need for your UTC, and the evidence to support your application, you should refer to the pupil recruitment success factors we have identified at page 17. We will look at the data you have provided to judge the level of need and the extent to which you have engaged with a cross section of the local community including local schools, other providers, the local authority, and Local Enterprise Partnership (LEP). Your local authority should provide you with detailed demographic and other educational contextual data. A list of priority urban areas for future locations for UTCs where there is currently no UTC provision within reach is given at page 17.

E1: Provide evidence that specialist employers need the workforce produced by the UTC

Free text in the Word template. You must

- describe and quantify the national skills gap in your specialisms; and

- describe and quantify the local skills gap experienced in your catchment area by:

    - the employer(s) named in the Excel application form: and

    - any other employers you are working with.

You should present evidence on this local skills gap in terms of

- the employers' failures to recruit due to a lack of people with the specialist knowledge and skills your UTC will provide, using quantitative evidence;

- any other effect on the employers due to this skills gap, using quantitative evidence if possible.

We will assess the quality of the case you make that employers need the workforce produced by this UTC. You will be rated more highly if

- you can present evidence that these gaps are large;

- you can describe how they are having a significant effect on the employer sponsor(s) and any other employers you are working with;

- your application has the support of your LEP and clearly links to any local economic strategy. Information on LEPs can be found on the LEP Network

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E1: Provide evidence that specialist employers need the workforce produced by the UTC

website; and

- you can demonstrate how your planned offer will enhance or complement existing skills provision and link with other national or local providers of technical skills (eg National Colleges).

E2: Provide evidence to support the chosen location for your UTC

Free text. You must

- provide a map, with supporting narrative and data, which shows your catchment area, that sufficient potential pupils live within reasonable commuting distance using public transport, any information on local travel patterns, and any overlap in catchment for UTCs or other technical provision.

- provide a brief summary of the standards in local schools/colleges in the relevant phase using Ofsted judgements and pupil achievement/progression data;

- if you plan to recruit from year 7, provide details of any current or forecast shortage (basic need) or surplus of places in the relevant phase of education within the UTC's catchment area; and

- describe what other technical provision is available pre and post-16 within your catchment area, in the broad sectors of your specialisms.

You will be rated more highly if

- your UTC is in one of the priority locations given at page 17;

- your UTC is to be located in a catchment area where there are no significant surplus of places in local secondary schools in the relevant phase or that local secondary schools are underperforming (underperforming schools are usually classed as schools rated as 'requires improvement' or 'inadequate' and/or have low pupil attainment and progression results);

- there is no other high quality technical provision (including UTC provision) within reasonable travelling distance of the proposed site;

- the other schools and colleges offering similar specialisms are underperforming;

- your UTC will fill a gap in 16-18 provision as identified by an area-based review.

E3: Provide evidence that there is demand for your proposed UTC from pupils and parents

Free text and Word table. You must

- demonstrate how many parents and pupils, who are of the right age to be in the UTC's first cohort, **have said that they will leave their current school and move to your UTC**. For example, if in your first year you are intending to recruit 150 pupils, made up of 50 year 10s and 100 year 12s, the closer you can get to meeting (or exceeding) these numbers the higher you will be rated. You need to show that these potential pupils live within travelling distance of the proposed UTC, and demonstrate that they – and for pre-16 their parents – have made an informed decision to move to your UTC. We will not consider generic expressions of interest in a new school to be sufficient evidence that there is demand for the UTC that you are proposing. Please give a clear account of how you have gathered the data (and any shortcomings in the data collection methods, for example if you have extrapolated the findings from a small survey to a larger catchment area) such that we can verify it at interview stage if appropriate. (Please include in an annex any leaflets or material you have used with parents and pupils eg survey questions);

- detail your plans for establishing or building on relationships with local schools and other education providers to mitigate potential pupil recruitment issues;

- demonstrate how you will work with local schools to improve pupil recruitment, particularly if admitting at the atypical age of 14, by identifying pupils in the partner schools that might flourish at the UTC or by partner schools acting as feeder schools for the UTC;

- describe how you will build on and establish strong and effective working relationships with your local authority to support pupil recruitment;

- tell us the proportion of young people not in education, employment or training (NEETs) in your catchment area (use LA level data if data is not available for your catchment area).

You will be rated more highly if

- you can provide evidence that a high number of parents and pupils of the right age have said **they will leave their current school and move to your UTC**;

- you have robust plans for working with MATs and other schools on recruiting sufficient numbers of pupils in the proposed catchment area;

- you have plans to work with schools to create feeder capacity;

- your UTC has the support of your local authority (LA) and the LA has agreed to

E3: Provide evidence that there is demand for your proposed UTC from pupils and parents
write to pupils and parents of the relevant age about your UTC.

Section F: Capacity and capability

5.13   You must demonstrate that your group has the capacity and capability to set up and run a UTC. You must have access to appropriate and sufficient school-aged educational, financial and other expertise either within your group or externally. You must also demonstrate how sponsor or partner organisations, including the university and employers, and educational partners will contribute to the UTC both in pre-opening and once open. For each organisation you should include information on how they will support the UTC in terms of staff and resource inputs, work placements, apprenticeships and financial or other contributions. This information should be quantifiable.

5.14   As set out earlier in this guidance, we have a presumption that future UTCs will be established as part of strong partnership arrangements. Applications from groups not planning to be part of a formal partnership (involving high performing schools), must demonstrate how they will achieve the same economies of scale, financial security and educational and staffing benefits without such a partnership.

5.15   All existing mainstream schools and academies that have not been approved to be an academy sponsor should complete Sections F1-F4.

5.16   If you are an approved academy sponsor the department will already hold material that would be relevant to your UTC application and will therefore not expect you to provide this information for a second time. **You do not need to complete Section F4 of the application form relating to your educational track record until we have assessed whether we have enough information on these aspects of your performance.** If required, we will make sure that we give you sufficient time to provide any clarification or additional material to help us take a view in regard to these factors.

5.17   It is important to make clear that approval as an academy sponsor will not guarantee a UTC application is approved. Each UTC application is considered against the criteria set out in this guidance.

5.18   Throughout Section F, we will ask you to provide details of educational, financial, and other expertise. When we ask this, please include the following information for **each individual** who is part of your applicant group (including all members of your academy trust) or whose expertise you intend to access. Please use the template CV provided in the Word application form.

- All individuals. Please provide

- brief details of last three roles (organisation, position, dates). This should cover the last four years. If not, please include additional roles; and

- a brief commentary on why their previous experience is relevant for this proposed UTC, and optionally any other brief comments they wish to make on how their role(s) had an impact on raising standards.

- **Individuals with educational expertise and experience.** Please also provide

  - **track record** across those last three roles in terms of 5A*-C GCSE including English and maths results (for key stage 4), and average point score per entry and per pupil for level 3 qualifications (for key stage 5);

  - If they are/were a member of a school or college leadership team, please provide the results for their **school/college** compared to **local and national** averages for the years they were in post; and

  - If they are/were a teacher or head of department but not a member of the leadership team, the results for their **department** compared to the averages for their **school/college**.

- **Individuals with school financial expertise and experience.** For the group's nominated finance lead, please also provide

  - details of their professional financial qualifications.

- **Individuals with expertise in analysing and challenging performance data to drive improvement.** This could be from any governance and leadership background (business, university, school, or other). Please also provide:

  - *if possible*: quantified **track record** (using whatever metrics are appropriate) across last three roles.

- **Individuals with other expertise.** Section F also asks you to provide information on individuals in your group who have other relevant skills and expertise that will ensure the success of your proposed UTC. This may include communications, marketing, human resources and project management expertise. There are no specific requirements for these areas but please provide CVs on the template provided for these individuals including:

  - a brief commentary outlining their previous experience and why this is relevant for the proposed UTC;

  - *if possible*: quantified **track record** data (using whatever metrics are appropriate) across the last three roles; and

  - details of any relevant qualifications.

5.19 F1 and F2 are composed of three tables, with the option to add some free text:

- pre-and post-opening time and expertise (F1 and F2);

- organisational contributions in pre-and post-opening (F1 and F2); and

- skills gap analysis for pre- and post-opening (F1 and F2).

A CV template is also provided for you to provide information on the track record of the individuals listed in the tables.

F1: The necessary experience and credentials to deliver the UTC to opening

Free text and Word tables

Using the **time and expertise table**, you must

- demonstrate that you have access to strong, recent secondary education expertise (for example, a head teacher of a school that has been judged as good or outstanding) and school finance expertise, with specific and sufficient time commitments;

- demonstrate that the large amount of time and expertise needed to set up your UTC is sourced from across the whole spectrum of organisations that are involved as trustees/directors/governors; and

- demonstrate that you have access to individuals with sufficient time and relevant experience in some of the following:

  - managing school finances;

  - school leadership;

  - project management;

  - marketing;

  - human resources;

  - safeguarding;

  - health and safety and

  - engaging employers and universities in school-age education.

We encourage you to set out your plans for working with a strong, formal secondary school-to-school partnership when developing your proposal, through pre-opening and until your UTC's first Ofsted inspection. Information on school-to-school support and the benefits of formal partnerships including MATs can be found in the 2013/14 Academies Annual Report . You may also want to think about partnerships with other educational providers including colleges.

F1: The necessary experience and credentials to deliver the UTC to opening

Using the **organisational contributions table**, you must

- demonstrate how your partner or sponsor organisations including the university and employer(s), and secondary educational partner(s) will contribute to the establishment of the UTC. You should include input from any additional staff not included in the time and expertise table and the support that will be provided, for example in the areas of curriculum planning, delivering employer projects and providing opportunities for young people.

Using the **skills gaps table**, you must

- describe any skills you think you will need that your group does not yet have, and describe any areas where you think your group does not yet have enough time committed; and

- explain your plans to fill these gaps.

You will be rated more highly if

- the individuals listed have a strong track record (shown in CV template) in their areas of expertise, and if you have individuals with expertise in most of the additional areas listed above;

- you have plans to be part of

  - a high-performing multi-academy trust with at least two other schools, and with the capacity to take on more (please provide details including a letter confirming this, the proposed governance arrangements, and any other plans the multi-academy trust has eg other expansion plans); or

  - a formal partnership with at least two other high performing schools offering similar benefits to a MAT (please provide details of the nature of this partnership, any support/services to be provided via it (educational, financial etc.), how these arrangements will be provided (eg by a service level agreement), and who will provide them and any governance arrangements).

- you have a compelling strategy to fill the skills gaps you have identified.

F2: Once open, the trustees, in collaboration with partner and sponsor organisations, have the experience, track record, and commitment to drive improvement in a UTC and manage the trust effectively.

Free text and Word tables

Using the **time and expertise table**, you must

- demonstrate that you have trustees with relevant expertise, with specific and sufficient time commitments, in **at least two of the following three skill sets**:

    - recent secondary education expertise,

    - financial expertise; and

    - expertise in analysing and challenging performance data to drive improvement. This could be from any governance and leadership background (business, university, school, or other).

You will be rated more highly if the individuals listed have a strong track record in their areas of expertise.

Using the **organisational contributions table**, you must

- demonstrate how your partner or sponsor organisations, including the university, employer(s) and educational partner(s), will contribute to the running of the UTC once open, including the input from any additional staff not included in the time and expertise table and the support that will be provided, for example in the areas of curriculum planning, delivering employer projects and providing opportunities for young people.

Using the **skills gaps table**, you must

- describe any skills you think you will need that your group does not yet have, and describe any areas where you think your group does not yet have enough time committed; and

- explain your plans to fill these gaps and to recruit and train high quality trustees, including those with recent education, school governance and school finance expertise.

You will be rated more highly if

- you have a compelling strategy to fill the skills gaps you have identified;

- you already have individuals in your core group who have expertise of school leadership in a high performing school who can help with filling those gaps;

- you have plans to be part a formal partnership with other high performing schools which offers benefits in terms of educational and other support, shared services

F2: Once open, the trustees, in collaboration with partner and sponsor organisations, have the experience, track record, and commitment to drive improvement in a UTC and manage the trust effectively.

and economies of scale. Please provide details of the nature of this partnership, any support/services to be provided via it (educational, financial etc.), how these arrangements will be provided (eg by a service level agreement); who will provide them; and any governance arrangements; and

- the individuals named as trustees include trustees with excellent, relevant school leadership and finance expertise.

F3: A governance structure, roles and responsibilities that will ensure accountability and effective decision making in this academy trust and drive improvement in the UTC

Free text in the Word template. You must

- provide a diagram showing your proposed governance structure, including lines of accountability between the company members, the UTC's trustees, and the principal (the diagram can go in an annex). The governance structure must be in line with the model UTC Articles of Association and the Academies Financial Handbook, with a clear and appropriate division of roles and responsibilities between members, governors and the UTC's senior leadership team;

- give a brief explanation of the roles and responsibilities of the company members, the trustees, any proposed committees, and the principal;

- explain your strategy for avoiding and minimising conflicts of interest and for securing independent challenge to members and to trustees; and

- give a brief description of any conflicts of interest and an explanation of how you intend to manage them.

If your trust already runs schools under the same trust, you must also provide

- a diagram showing the governance structure which ensures clear accountability and scrutiny arrangements for each academy;

- a brief explanation of the strategic remit of the board together with the remit of local governing bodies and their structure; and

- a brief explanation as to how the trust would intervene quickly in an academy or UTC, should that be deemed necessary, and how it would know to do so.

We will also assess the quality of the case you make in demonstrating that the proposed

F3: A governance structure, roles and responsibilities that will ensure accountability and effective decision making in this academy trust and drive improvement in the UTC

governance structure, and the board of trustees' proposed size, will enable effective decision making.

F4: Educational track record of existing providers

Free text in the Word template.

If the proposer group outlined in Section A includes existing educational providers of pre-19 education, for instance, a school, college, or multi-academy trust we will assess their educational track record. If no such providers are involved, you leave this section blank. (We strongly encourage you to work with a formal school-to-school partnership when developing your application – you will be rated more highly if you do so and they plan to make a significant contribution to your group).

If the provider(s) in question is/are an **approved academy sponsor**, you do not need to provide anything except the name of the sponsor, as we already hold the information described below.

If the provider(s) in question is/are **not an approved academy sponsor** (even if they have an open academy, UTC or free school or a project in pre-opening), you must give the following information for **each provider**:

- the date and overall judgement of their latest Ofsted inspection with the link to the full report (in the Excel application form);

- links (in the Excel application form) to the most recent published performance data for each of the provider's schools or colleges. Please use the Word form to provide a brief explanation of any anomalies you think we should be aware of;

- an indication of how the MAT, school(s) or college will provide on-going challenge and support to the proposed UTC. Where relevant, please state how the provider would source additional capacity if required; and

- **if the provider is involved with supporting other schools or colleges to improve**, please also provide a list of the key people the provider uses to furnish that support, giving brief details in line with the bullets introducing section F; details of when they have supported other schools or colleges; and references to Ofsted judgements where they have been directly responsible for a positive transformation.

We base our assessment of the capacity, capability, and quality of provision of the

F4: Educational track record of existing providers

provider(s) on the following criteria

- **strategic direction** - a clear understanding of what it means to be an effective school sponsor, school, or college, and clear aspirations underpinned by a sustainable business model;

- **educational capacity and performance** - evidence of sustainable educational impact and school/college improvement capacity;

- **financial planning and operational capacity** - evidence of robust financial planning and expertise, value for money and risk management; and

- **governance and transparency** - appropriate, tight governance structures and clear lines of accountability.

In order to be rated highly, the provider(s) must have

- a **high calibre** of educational leadership;

- evidence of **planned partnership/governance arrangements** that formalise the level of commitment and the way this leadership will be provided to your project in preopening and when the UTC opens (eg letters from partner organisations setting this out); and

- **compelling evidence** of high, sustained educational impact, measured by

  - key stage 4 results data, including absolute results, trajectories above national averages (and key stage 2 results if the provider runs primary provision);

  - Ofsted judgements of quality of teaching and leadership and management are, on average, 'outstanding'; and

  - individuals' track record, including results in previous schools/colleges, value added (as above) and Ofsted track record.

Section G: Budget planning and affordability

5.20   We want to ensure that your UTC is financially viable within the funding available. Detailed guidance on completing the financial template can be found in Annex A.

5.21   We first ask you to provide a budget plan showing your income and expenditure as your UTC grows to full capacity. We want to check that your financial plans will support delivery of your education vision and plan and that your UTC is viable with the funding provided. We do not think a UTC will be viable if they have fewer than 100 pupils as an absolute minimum at any point in time. We then ask you to explain what changes you would make if you had to operate with only 70% of your expected income each year

until your UTC reaches a steady state, due to lower than expected pupil numbers. We want to make sure your UTC is resilient to changes in income as a result of having fewer pupils than expected. You must show how you made 30% savings for each year up to and including the year your UTC reaches steady state. You do not need to submit a 70% budget plan in the Excel financial template but you will need to think about areas where you can make savings and explain these in the word application form. It is critical that you include the savings that each change will generate, the rationale for each change that you propose and the reason why you have prioritised the changes as you have.

G1: Accurate financial plans that are consistent with the rest of the application and based on realistic assumptions about income and expenditure

Excel financial template plus free text in Word. You must

- include an overview explanation in Section G of the word application form of how you developed your plans and the strategic decisions underpinning them. As part of this, you should briefly explain how you would deliver value for money, and describe how your budget plan would support delivery of your education vision and plan;

- complete a budget plan showing income and planned expenditure in the Excel template, and include the assumptions made about income and expenditure in the space provided. You should explain clearly what you have based your assumptions on and the evidence you have to show these are realistic and appropriate;

- make sure that the information in your plan is consistent with the other parts of your application eg the staffing structure and pupil numbers in the education plan should agree with the budget plan;

- demonstrate that no material errors have been made in completing the financial plan; and

- show that you have allowed for unexpected costs and have contingencies.

We will also assess the quality of the case you make in demonstrating that the strategic financial decisions you have taken in preparing your plan are reasonable, represent good value for money and are prudent. We will look at

- core operating income / expenditure assumptions;

- benchmarking information for income and expenditure;

- contingencies;

- any centrally provided services and their costs;

G1: Accurate financial plans that are consistent with the rest of the application and based on realistic assumptions about income and expenditure

- proportion of spend allocated to each budget area – and particularly to staffing;

- staff to pupil ratios;

- the context of the area (eg the percentage of free school meals (FSM) and SEND pupils); and

- the UTC's particular education offer (eg specialist teaching, plans for CPD etc.).

If you are invited to interview, we will assess how well you answer financial scrutiny questions.

G2: The UTC will be viable within the expected levels of funding available both during the post opening period and once at full capacity

Excel financial template plus free text in Word. You must

- demonstrate that the UTC is projected to at least breakeven once at full capacity;

- not show a cumulative deficit in any year. Any in-year deficits during the period when pupil numbers are ramping up must be planned for by accumulating a surplus in (a) previous year(s); and

- not be dependent on borrowing or third party income to breakeven in any year: your eventual UTC could depend on some third-party income, for instance from apprenticeships, but this would need to be thoroughly documented during pre-opening, and at the application stage, you should not count on having this income.

We will also assess the quality of the case you make in demonstrating how you have made the decisions you have regarding the levels of in year deficit and overall surplus, looking at the factors set out under G1.

G3: The UTC will be financially resilient to reductions in income

Free text and Word table. You must

- include an overview explanation in Section G of the Word application form 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 and including the year your UTC reaches steady state. As part of this, you

G3: The UTC will be financially resilient to reductions in income

should explain how your amended plans would continue to support delivery of your education vision and plan; and

- complete the table to explain how you would deliver your vision and plan if your income was 70% of what you had expected. To do this, you should explain the actions you would take to reduce costs, the reasons for these actions, and the approximate savings that would result. These savings should total the 30%.

We will also assess the quality of the case you make in demonstrating

- that the changes proposed will result in an education plan which is affordable, will minimise compromises to quality and will meet the vision for the UTC; and

- that the changes outlined in the 70% table have taken into account the particular characteristics of your UTC.

The Excel financial template will provide you with a figure for the required saving. For the purpose of this exercise we assume your entire income – including any lump sum which may be payable in your area – is reduced by 30%.

Section H: Premises and Equipment

5.22   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 and tell us about them in your application.

5.23   There are no assessment criteria for this section, although we make a judgement on value for money and likelihood of delivery on each application that includes likely site costs.

5.24   You must

- complete the Excel application form with details of your preferred sites. For each site, this asks you for

    - the details of your preferred location;

    - the full address and postcode;

    - details of how you found the site;

    - the tenure and ownership plus purchase/lease cost if known;

    - confirmation of LA support for use of a site, if applicable;

    - confirmation of availability;

- an outline of its current use;

- your reasons for choosing it and its suitability;

- size of site and building, if known; and

- comments on the condition of the building.

5.25   Additionally, please provide any site plans, agent's particulars, photos, catchment/location maps or other associated technical information. All supporting text information on sites must be included in the Excel application form.

5.26   You should make enquiries as to whether your preferred sites are available for acquisition or leasehold but you must not enter into any negotiations at this or any other stage. If your application is approved, the EFA will undertake negotiations to lease or acquire a site for your UTC, and will provide the necessary capital funding for the refurbishment and building works. A 125-year (or greater) peppercorn lease is the department's preferred type of tenure, as it ensures long-term security for the UTC as well as value for money. UTCs will not always require the construction of a completely new building, existing premises can be refurbished or remodelled so that they are functional and comply with all relevant legislation.

5.27   Whilst it will be important to secure a site that is appropriate for your UTC, it must also offer value for money and if approved the department will seek to deliver your UTC with the lowest possible capital cost. If, after approval of your application it proves impossible to identify a feasible site, we may have to delay the opening of your UTC or, in some cases, we may not be able to open your UTC at all. The overall capital budget for your UTC will cover site acquisition, building or refurbishment costs, including fees, surveys and legal advice, and the costs of ICT provision, standard fittings, furniture and equipment.

5.28   Some funding may also be available for the specialist equipment needed to deliver your technical specialism(s), with the expectation that any contribution from the department will be capped at £600,000.

6.   Support for applicants

Useful contacts

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

- For general advice, please contact Baker Dearing Educational Trust, which provides free advice and guidance to UTC applicants – director@utcolleges.org.

- Advice and guidance on how to find potential sites, as part of developing your application, is available from the EFA by contacting them by email on FreeSchools.EFACAPITAL@education.gsi.gov.uk. (This is the address for premises queries and advice before you submit your application. There is a separate email address for any premises information you need to send once you have submitted your application; that email address is given in the Excel application form.)

Further information and key documents

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

Academies Financial Handbook

Academies Spend Data (for examples of academy finances)

Behaviour and exclusions policies and guidance

Careers guidance and inspiration in schools

Charity Commission guidance

Companies House

Department for Education procurement guidance for free schools (this guidance includes UTCs)

Education Funding Agency

Education Services Grant

Equality Act 2010

- Legislation

- Advice

Governance guidance

Model UTC funding agreement for a single academy trust

Model UTC supplemental funding agreement for a multi-academy trust

[Model UTC memorandum and articles of association for a single or multi-academy trust](#)

[Secondary School Accountability](#)

[16-19 Accountability](#) and [headline measures](#)

[Schools benchmarking website](#) (for examples of maintained school finances):

[Seven Principles of Public Life](#)

[Special Educational Needs Code of Practice](#)

Annex A: Completing the 2014/15 financial template

The financial template is a tool to help you to demonstrate that your education plan and staffing structure will be affordable within the funding available from the Education Funding Agency. It is important that it is consistent with the rest of your plans, that you use it to demonstrate how your plans will be made a reality and that your assumptions clearly show what strategic financial decisions you have made. You will need to update your financial plans on this template as your plans develop throughout the pre-opening phase.

It is important that you read the guidance tab before starting to populate the spreadsheet as it contains key information and advice.

You will find it useful to also read the guide to new UTC revenue funding to further your understanding of how your funding is calculated. Please note that a version of the guide updated for 2015/16 will be available in summer 2015.

Budget

Forecasts should be prepared on an academic year (September to August) basis. The financial template automatically calculates indicative levels of funding based on the information you enter. The actual funding that a UTC will receive in a given academic year will not be established until closer to opening, and projects that progress to pre-opening will be asked to complete revised financial plans before the department enters into a funding agreement.

You should refer to the Academies Financial Handbook in planning your budget. For example, forecasts should be prepared on the 'accruals' basis of accounting, which means that you should recognise expenditure in the accounting period in which it is incurred, which may be earlier than when the invoice is actually paid.

Budget assumptions must be listed throughout this sheet at column R and be consistent with the information provided in the rest of your application. You should include references to show the sources of evidence and benchmarking information used.

For example, assumptions made could include the following:

- pupil recruitment is assumed to grow at a steady rate until steady state is reached;

- employer National Insurance and pension contributions are each calculated with regard to HMRC and relevant pension providers' guidance; and

- expenditure on heating based on information provided by current occupant.

For each line of income and expenditure you will want to think about whether additional commentary is needed to help the department understand how you have derived numbers or to highlight where approximations have been used.

The template

Cover sheet

You will need to start by completing the cover sheet as the information you provide (pupil numbers, local authority, phase of school and opening date) is the data needed for your funding calculations. The template will not work correctly if all relevant fields are not completed.

You will also see tabs for the **pre-16 and post-16 ready-reckoners**. The data you have entered on the cover sheet and pupil numbers entered on the budget sheet will transfer to one or both of the pre-16 and post-16 ready-reckoners, which will calculate your funding using your local authority's pre-16 funding rates or the national 16-19 funding formula. The resulting amounts will transfer back to the budget sheet.

Proposition stage

If you are submitting your application to open a UTC, please select 'Applicant'. Once you have received approval to proceed to the next stage, you will need to refresh your plans at key points, and should select 'Approved to pre-opening' in this box.

Local authority

It is important that you select the correct local authority to ensure your financial plans are based on the correct funding rates.

Risk protection arrangement

UTCs are able to opt into a voluntary risk protection arrangement (RPA) offered by the government at the rate of £25 per pupil. There is an allowance of £25 per pupil for insurance included in the general annual grant (GAG). If you intend to opt into the arrangement, you should select 'yes' in the drop-down box on the cover sheet. The template will calculate the amount that will be deducted from your GAG to cover RPA: this will automatically be reflected on the budget sheet in row 140.

You are able, if you prefer, to arrange your own insurance: you should note, however, that there will be no extra funding available if it costs more than the equivalent of £25 per pupil. Any costs above this amount should therefore be included as expenditure in your financial plan in row 140.

Details of the new risk protection arrangements are on GOV.UK.

Budget sheet section 1 - Pupil numbers

Please enter the total number of pupils that will be enrolled in your UTC, per year. These numbers should include both new intakes as well as any existing pupils.

The information will transfer to the relevant pre- or post-16 ready-reckoner, which will calculate your funding, and display it on the budget sheet. The ready-reckoners will display full details of how your funding is made up, according to your local authority's local funding rates or national post-16 funding rates.

Funding for 11-16 pupils is also affected by the characteristics of a school's intake. The ready-reckoner will pre-populate your expected percentage uptake for the various formula factors, such as free school meals (FSM) and looked-after children, based on local authority averages. Where the characteristics of your intake are likely to be different from the LA average, you have the opportunity to override the pre-populated figures for each of the LA formula factors on the pre-16 ready-reckoner in the green cells. This should **only be completed by exception** where there is clear evidence that the characteristics of the pupil intake will differ from the LA average, which will be unlikely before you open. If you do not hold the required data, leave the cells blank and the averages for the LA will automatically be multiplied by the pupil numbers you entered on the budget sheet. Note: it is especially unlikely that UTCs will be able to provide estimates with any accuracy for IDACI or prior attainment at the application stage.

Budget sheet section 2 – Income

Schools block protection for 15/16

As new local funding formulas are introduced, interim protection ensures that new UTCs' funding is not reduced unexpectedly or by a large amount from what they may have received if they had opened the previous year. This per-pupil funding protection limits the difference in the pupil-led factors (excluding looked-after children and mobility and all institution-led factors such as lump sum) to a reduction of 1.5% from the previous year. The template automatically calculates the amount of protected funding, if any is due.

Education services grant

UTCs (not 16-19 only institutions) receive a fixed per-pupil education services grant (ESG) of £87. This grant is intended to cover the cost of services which would previously have been provided by the local authority. The amount of ESG you will receive, based on your pupil numbers, will populate in row 37.

Business rates

UTCs receive a grant from the EFA to cover the full cost of business rates at the discounted charity rate. You should claim for this via the online form on GOV.UK. Row 37 (in the income section) will be populated once you have entered details of the rates in row 112 (in the expenditure section).

Other income

If you expect income from sources other than the EFA (eg fundraising) please include them in your budget sheet. You should use the assumptions column (column R) to provide robust evidence on why it is realistic and achievable to assume the levels of income you have included. Any additional income would usually be used to enhance, extend, and enrich the UTC's offer or to save towards capital projects and should not be fundamental to the operation of the UTC. UTCs are expected to be viable on the basis of their EFA grant income against projected costs.

Post-opening grant (POG)

New UTCs receive additional funding to reflect the additional costs of establishing new publicly-funded schools. The post-opening grant provides funding in two elements: per-pupil resources; and leadership diseconomies. Please see the guide to new UTC revenue funding for further information.

The non-staffing resources element will be calculated automatically using your pupil number entries. The per-pupil rate is £500. You will receive this grant for any new pupils you take each year until you reach capacity. The template will show the amount you will receive in rows 52.

The second element (leadership) is a fixed-rate grant, which will pre-populate in the template in row 69.

Budget sheet section 3 – Expenditure

Please enter your expenditure total under the headings: Other staff, Premises, Educational resources, Professional services and Other expenditure. We have suggested some areas where we would expect to see expenditure listed. Staff costs will be calculated automatically once the 'Staff' worksheet is completed.

It is sensible to include costs associated with depreciation of assets, such as furniture, fittings and equipment, excluding land and buildings. This is where items such as specialist equipment, laptops or minibuses (but not day-to-day items) will need to be replaced. As an example, a good financial plan using the budget planning tool might show that there is a need to buy more laptops in the third year, then replace other assets in the fifth year. These assumptions should be reflected in column R. We would expect contingency to be around 1% of overall income.

Visit schools benchmarking information and academies' spend data for details of the non-staff costs typically incurred by maintained schools and academies. The benchmarking information on the schools benchmarking website does not cover the costs of purchasing and providing services that your UTC will need, which would be provided by a local authority to its maintained schools. You can access information on the schools benchmarking website by using the 'Guest login' link.

Staff sheet

The information you enter here should match your expected staffing model. Please provide details of the position, type of position, salary, allowance, pension rate and National Insurance rate in columns C-G. Columns H-O require you to input a number 0-1 setting out the full time equivalence of that role depending on whether the member of staff is full or part time. Each member of staff needs to be entered in a separate row. An example is given at the top of the sheet.

You can find out who your local government pension scheme manager is on the LGPS website. You should contact the relevant fund manager in the first instance to get a likely estimate of the rate in your area.

You should note that from September 2015, employer contributions to public sector pensions – including the Teachers' Pension Scheme – are increasing by 2.5%.

National Insurance is not a fixed rate and varies with earnings. Further information is available in HMRC's guidance on national insurance contributions..

Education support staff are non-teachers who have an active role in supporting the education of pupils. They can include: teaching assistants; high-level teaching assistants; learning support assistants for pupils with high levels of SEND or who have EAL; instructors; lab technicians; coaches; mentors etc. Education support staff are separate from administration staff.

The schools benchmarking and academies' spend data pages on GOV.UK also provide details of the non-staff costs typically incurred by maintained schools and academies. You should explain in your assumptions how you have taken these benchmarks into account when setting the level of spend on staffing costs for your UTC. Where a financial plan using the budget planning tool indicates that a significantly greater or lesser proportion of the UTC budget will be spent on staffing than is typical, we would expect you to set out clearly why this is appropriate for your UTC.

Summary sheet

This sheet will provide you with key financial indicators using benchmarked figures for your pupil and staff numbers and staff structure as well as giving you a set of financial ratios on strands of your expenditure against overall costs. We will be particularly looking at the annual surplus/deficit (including POG) in row 9. Cells will be red-rated where your ratios and allocated spending differ from what we might expect to see; this is intended as a guide only, and not a mandatory target. Please provide any notes or reasoning in column P.

Annex B: Glossary of terms

Academies Financial Handbook - sets out the duties and obligations of academy trusts which have a funding agreement with the Secretary of State, including in respect of financial management, governance and audit.

Academy - publicly funded independent educational institution free from local authority control. UTCs are legally academies. Other freedoms include setting their own pay and conditions for staff, freedom from following the National curriculum and the ability to change the lengths of their terms and school days.

Academy trust - a charitable company limited by guarantee which operates an academy or free school. See 'company limited by guarantee' for further information.

Articles of association - set out the governance arrangements of the company limited by guarantee (the academy trust).

Board of trustees (also known as board of directors or governing body) – the body appointed by the members of the academy trust to oversee the day-to-day management of the school and hold the senior leadership team to account. The board of trustees must be constituted in accordance with the academy trust's articles of association. Trustees must be registered as directors of the company with the Registrar of Companies.

Catchment area - the geographical area which you intend your UTC to serve.

Collective worship - all publicly funded schools must provide a daily act of collective worship. For schools that do not have a religious designation, collective worship should reflect the broad traditions of this country which are in the main Christian. A school can reflect the religious backgrounds represented in its community, as long as the majority of provision is broadly Christian.

Company limited by guarantee - a private company, where the liabilities of its members are limited, in the case of academy trusts to £10. This is the type of company that will most often be used for non-profit organisations. As a legal entity in its own right a company limited by guarantee can take out agreements and contracts in the name of the company rather than the name of individual members.

Devolved formula capital - funding for the maintenance and repairs of school buildings. UTCs will not receive this funding in their first year.

Directors – directors of an academy trust are also trustees – see below.

Due diligence - is an umbrella term for a number of checks that will be made on all those applying to establish a UTC. The checks enable us to ensure that only suitable individuals are able to set up and run a UTC.

Education Funding Agency (EFA) - the EFA (formed from the Young People's Learning Agency and Partnerships for Schools in April 2012) is part of the Department for Education. It currently funds all academies, maintained schools through local authorities, other training for 16 to 19s and learners with learning difficulties and disabilities between the ages of 16 and 25. EFA usually lead on capital acquisition and property costs, as well as overseeing spend on necessary works and fit out. UTCs may also want to offer apprenticeships or higher education courses such as HNCs, which are not funded by the EFA, and can do so with DfE's approval. Your project would then need to secure permission and revenue funding from the appropriate bodies, and comply with relevant monitoring regimes.

Education Health and Care plan – An Education, Health and Care (EHC) plan describes a child or young person's special educational and other needs and the outcomes they are working towards. The EHC plan specifies the special educational provision and related health provision and social care provision a child or young person should receive. The LA will usually issue an EHC plan if it decides, following a statutory assessment, that all the special help a child or young person needs cannot be provided from within the resources of the school or other educational institution. These resources could include money, staff time and specialist equipment. EHC plans are available from birth up to age 25.

Education services grant (ESG) – this grant is for central education services currently funded through local authority central spend equivalent. The ESG will be allocated on a simple per-pupil basis to local authorities and academies according to the number of pupils for whom they are responsible. This is a separate grant proportionate to the number of pupils for which they are responsible.

English Baccalaureate (EBacc) - where pupils have secured a C grade or better in all of English, maths, history or geography, two sciences and a language.

Escalation (methods of) - the approach to and level of responsibility at which particular issues will be resolved when setting up and running the school.

Ethos - the distinctive vision, values and principles that inform the way a school is run.

Financial viability - whether a UTC can survive in financial terms in the long-term. UTCs must be able to balance their budgets. This means spending less than their income. In the post-opening period, income is currently per pupil funding plus an additional post-opening grant. When schools reach steady state, their income will be per pupil funding only.

Founding members of the company - these are the people that establish the company and sign the memorandum of association that is submitted (with the company's articles of association) when registering the company with Companies House. Further members may subsequently be appointed.

Free school meals (FSM) - whether children are, or have ever been, eligible for free school meals is frequently used as an indicator of deprivation, and is often used as a qualifier for calculating funding targeted at deprived pupils/areas/schools, such as pupil premium. No additional FSM funding is given for children aged 16 to 19.

Full time equivalent (FTE) - this represents the total pupil load as if all pupils are full-time, counting part-time normally as 0.5. So for example if the school will have 100 full-time pupils and 30 part-time pupils spending half their time at the school the FTE total would be 115. This is also relevant to staffing.

Funding agreement - a legally binding contract between the academy trust and the Secretary of State that sets out the conditions and requirements upon which the academy trust is funded.

Fundamental British values – schools are required to actively promote the fundamental British values of democracy, the rule of law, individual liberty and mutual respect, and tolerance to those with different faiths and beliefs.

General Annual Grant (GAG) - otherwise known as 'per pupil funding', this is an Academy's annual expected funding. Schools are expected to cover all their running costs out of their GAG.

Governors - see definition for 'Trustees' above.

Grant funding - a method of giving funds for a specific purpose and/or a limited amount of time.

Information and Communication Technology (ICT) - this includes telephony, computer equipment and operating systems for the running of the school. It also covers the use of ICT in the curriculum as a subject and to support teaching and learning.

Indicative funding - gives a school an estimated funding quote for the forthcoming academic year. It is based on the average local authority funding for maintained schools and the expected number of pupils on roll at that school in the relevant year.

Leadership grant - staffing element of post-opening grant.

Looked-after-children - children who are in the care of the local authority.

Local Government Pension Scheme (LGPS) - a nationwide public sector pension scheme administered locally for participating employers through 99 regional pension funds. UTCs must offer this scheme to all their non-teaching staff.

Members (of the company) – the individuals or organisations who form the company, ie. the "UTC Trust", and are responsible for appointing its trustees in line with the Articles of Association. Employees of the trust must not be members

Memorandum of association - contains the names of the individuals who are forming the company (the company's founding members). It indicates their willingness to become a member of the company under the Companies Act 2006.

Multi-academy trust (MAT) - Multiple academies (which can include UTCs) governed by one academy trust. The multi-academy trust may delegate functions to one or more local governing bodies.

Pedagogy - different styles and approaches to teaching.

Post-opening grant - previously called 'start-up funding' this is additional funding currently available when schools are first set up (and before there is a full cohort of pupils) for essential costs such as employing a principal (head teacher) and buying books and equipment.

Post-opening period - the number of years taken for the UTC to build up to capacity, agreed between the UTC Trust and department.

Procurement - the process of entering into contracts for the acquisition of goods and/or services.

Project development funding - funding provided to help set up the UTC before it opens. It can currently be used to help develop detailed plans for the school including the curriculum, recruiting a principal designate, running a consultation on the proposed school, and attracting pupils.

Pupil premium – additional funding given to publicly-funded schools in England to raise the attainment of disadvantaged pupils and close the gap between them and their peers. It is paid to schools according to the number of pupils who have been registered as eligible for free school meals at any point in the last 6 years. For 2014/15 the rate is £935 per secondary pupil. Children who are or have been continuously looked after by the local authority for six months or longer will also attract a pupil premium of £1,900. Pupil premium is paid directly to UTCs.

Qualified teacher status (QTS) - the accreditation that enables individuals to teach in state-maintained and special schools in England and Wales.

Regional Schools Commissioners (RSC) - Regional Schools Commissioners are responsible for making decisions about the academies and free schools in their area in the name of the Secretary of State for Education.

Religious education (RE) - all schools must teach religious education. The RE curriculum must reflect that the religious traditions in Great Britain are, in the main, Christian, while taking account of the teaching and practices of other principal religions in the country. Parents have the right to withdraw their children from religious education and the school must comply with the request.

School Admissions Code and School Admissions Appeals Code - UTCs must comply with both Codes which are a statutory document we publish that ensures equity and fair access for all.

Service premium - The service premium has been introduced for children whose parents are currently serving in the armed forces; this is £300 in 2014/15. This service premium is designed to address the emotional and social well-being of these pupils

Special educational needs and disability (SEND) - Children and young people with a learning difficulty which requires additional, or otherwise different, educational provision than is offered more generally for children of their age.

Special Educational Needs Coordinator (SENCO) – the SENCO must be a qualified teacher, who holds or is working towards a relevant SENCO qualification. The SENCO plays a key role, in collaboration with the head teacher and governing body, in determining the strategic development of the SEND policy and provision in the school in order to raise the achievement of children with SEND. The SENCO takes day-to-day responsibility for the provision made for individual children with SEND, working closely with staff, parents and carers, and other agencies. The SENCO also provides related professional guidance to colleagues with the aim of securing high quality teaching for children with SEND.

Solvency/insolvency - a company or individual is solvent if the value of its assets exceeds the value of any debts it might owe. Insolvency occurs when a company or individual's debts exceed their assets, or if a company or individual has insufficient funds available to meet its debts as they fall due.

Steady state - the first year after you have reached full capacity in terms of pupil numbers.

Studio schools - designed to address the concern by employers that some school leavers do not have the skills to join the workforce. They are small schools for 14 to 19 year olds and teach an academic and vocational curriculum. Each has input from businesses, who shape what pupils learn and offer work experience. School days run on office hours, and holidays are shorter to reflect the working environment. By studying in this way, and by working with employers from an early age, pupils learn vital practical skills like punctuality, and good communication and behaviour in the workplace. More information is available on the Studio Schools Trust website.

Teachers' Pension Scheme (TPS) - a contributory scheme administered by Teachers' Pensions (TP) on behalf of the Department for Education. UTCs must offer this scheme to all their teachers, including head teachers.

Trustees – trustees are appointed by the members of a company to form a board of trustees and oversee the day-to-day management of the school. It is possible for an

individual to be a member and a trustee but we would expect a degree of separation between the two layers.

Value for money (VfM) - the term used to assess whether or not an organisation has obtained the maximum benefit from the goods and services it acquires and/or provides, within the resources available to it. It not only measures the cost of goods and services, but also takes account of the mix of quality, fitness for purpose, timeliness and convenience.