

Department for
Education

University Technical Colleges

Full application guidance

To be submitted by 5pm, 1 June 2011 by email to:
UTC.APPLICATIONS@education.gsi.gov.uk

Guidance on full application for proposed University Technical Colleges (“UTCs”) (for submission by 5pm 1 June 2011)

Introduction

This guidance:

- details the information you must provide in each part of your application;
- sets out the criteria against which your application will be assessed; and
- lists the minimum requirements which all University Technical College applications must meet in order to be considered.

Please send your application, with a minimum font size of 12, by email only, in a pdf format to UTC.APPLICATIONS@education.gsi.gov.uk It should consist of:

- The Application, which must not exceed 20 A4 pages in length (excluding appendices).
- Appendix 1 – Letters of support from sponsors
- Appendix 2 – Catchment area and travel plan (if required)
- Appendix 3 – C.Vs of key people
- Appendix 4 – Site plan
- Appendix 5 – Financial plan

Before submitting your application form, please ensure you have:

- formed a Company Limited by Guarantee and registered it with Companies House (not the Charity Commission) - guidance can be found at the link below^{1 2}. This Company is commonly known as an “Academy Trust”. It will be a recognised charity and will own the land and buildings of the UTC. It will eventually enter into a Funding Agreement with the Secretary of State whereby it receives the funding allowing it to operate the UTC. The majority of its directors will be appointed by the sponsors.
- Completed the templates at sections 1 and 2:

¹ <http://www.companieshouse.gov.uk/>.

² The model Funding Agreement and Memorandum and Articles of Association for UTCs are under development. We expect them to be broadly similar to the Free Schools Memorandum and Articles of Association at <http://www.education.gov.uk/schools/leadership/typesofschools/freeschools/a0074737/free-schools-model-funding-agreement>

1. Applicant details
 2. Outline of the UTC
- Submitted information on ALL remaining sections of the application, using the numbering and titling consistent with the guide below:
 3. Educational vision and identity of UTC
 4. Educational plan
 5. Evidence of demand and marketing
 5. Organisational capacity and capability
 7. Premises
 8. Initial costs and financial viability

You may also find it helpful to use the same sub-headings as this guidance, for each of these sections.

This guidance is suitable for use for proposals to establish a UTC which offers a full-time technically-oriented course of study, with clear progression routes into higher education or further learning in work, including apprenticeships. UTCs are new 14-19 Academies, typically with 500-800 pupils. UTCs specialise in subjects which need modern, technical, industry-standard equipment, such as engineering and construction, and teach these disciplines alongside business skills and the use of ICT. 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, local employers and in some cases also by an FE College with strengths in the UTC's specialist subject areas.

Further information about the characteristics of a UTC can be obtained from the Baker Dearing Educational Trust (www.utcolleges.org). ("BDT") BDT is the promoter of UTCs and is assisting the DfE in the management of this applications process. Applicants are strongly encouraged to discuss their application with BDT, who will be able to offer advice and support.

Your application (excluding appendices) must not exceed 20 A4 pages in length with a minimum font size of 12.

What happens when?

Preparing and submitting your application – up to 1 June 2011

- Read this guidance carefully;
- The Baker Dearing Educational Trust is able to provide advice and guidance to help you prepare your application; and
- **Please note that any applications received by the Department after 5 p.m. on 1 June will not be considered.**

Assessment of your application – after 1 June

- We will assess your application against the criteria set out in this document;
- Any applications that do not meet the minimum criteria will be rejected;
- All applications that meet the minimum criteria will:
 - be judged against each other on a competitive basis, using both the minimum and comparative criteria set out in this guidance;
 - be subject to due diligence checks - this means that we will use the personal information you provided to ensure your application is suitable to be submitted to the Secretary of State for his approval; and
 - undergo viability and cost assessments of your preferred site by Partnerships for Schools.

Section 1: Applicant details

Name of proposed University Technical College:
Name and registered company number of Academy Trust:
Details of Sponsor(s) (to include University and employer sponsors) Letters of support should be attached at Appendix 1
Name:
Address:
Name:
Address:
Name:
Address:
Main contact – this is the person with day to day responsibility for establishing the UTC
Name:
Address:
Email address:
Telephone number:
Members
Please confirm any members of the Academy Trust appointed to date and list them below. Please identify the proposed Chair of the Governing Body – who will also be a member of the Academy Trust.
Name:
Position:
Name:
Position:
Name:
Position:
Name:
Position:
Name:
Position:
Other key partners (i.e. local authorities, employers, schools and colleges)

Section 2: Outline of the UTC

Age range:	14-19																																																
Proposed numbers in each year group at point of opening and explanation of how pupil numbers will expand to fill the school over time.	<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="width: 15%;"></th> <th style="width: 10%;">2012</th> <th style="width: 10%;">2013</th> <th style="width: 10%;">2014</th> <th style="width: 10%;">2015</th> <th style="width: 10%;">2016</th> <th style="width: 10%;">2017</th> <th style="width: 10%;">2018</th> </tr> </thead> <tbody> <tr> <td>Year 10</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>Year 11</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>Year 12</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>Year 13</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>18-19 year olds</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </tbody> </table>		2012	2013	2014	2015	2016	2017	2018	Year 10								Year 11								Year 12								Year 13								18-19 year olds							
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Local authority area in which the school would be situated (and if near to a LA boundary please include names of neighbouring LAs).																																																	
Define the catchment area (and local authority areas it includes) from which you expect to draw pupils for the UTC																																																	

Section 3: Educational vision and Identity of the University Technical College

The educational vision should describe why you are setting up the University Technical College and its defining features and ethos. This is your opportunity to tell us in your own words about the overarching vision for your school, including the role and commitment of sponsors in providing strong leadership.

Information required

- Set out why you are establishing your school – why is new provision required for this age range/ curriculum offer/ location/ pedagogy;
- Identify what will make the school distinctive in its vision and ethos. Please demonstrate your understanding of the distinctive characteristics of a UTC, including (but not limited to):
 - The 14-19 age range;
 - Sponsorship and deep engagement by a university and local industrial employers;
 - Commitment to the curriculum framework and other educational standards recommended by BDT; and
 - How the sponsors are working together to develop and deliver the vision for the project, including information about the individuals leading the proposal, and what support sponsors are able to offer the UTC.
- Explain the role that you expect to be played by the University and industrial sponsors (a) as members of the governing body and (b) as partners in the operation of the UTC in the medium to long term.

Evaluation Criteria

Minimum criteria

- A clearly focused vision and rationale that underpins the application;
- A clear identity for the UTC, which is separate from that of any sponsor institution;
- Strong university and employer engagement.

Comparative criteria

- The quality of sponsorship (including University and employer involvement) including:
 - the seniority of those leading the proposal;

- the clarity of their vision for the project;
- the level of commitment from sponsors, including the amount of time and any assistance, financial or in kind; and
- the degree to which sponsors are working together jointly across institutional boundaries.

Section 4: Educational plan

The educational plan should describe the structure of the UTC and the experience that pupils will have whilst attending it. You should set out what pupils will achieve, how they will achieve it and how the UTC will evaluate performance, both of individual pupils and of the UTC as a whole. Key to this will be successful engagement of local employers and provision of work experience, placements and projects.

Information required

Admissions

Define the catchment area of the UTC, any associated travel issues and how these will be managed (detailed information, if necessary, should appear at Appendix 2)

Set out your admissions policy, including the criteria to be used to prioritise places if your school is oversubscribed.

Be clear about how your plans meet the Admissions Code.

Curriculum and organisation of learning

Describe the specialisms of the UTC and how these will be integrated with the curriculum to be delivered (a) to 14-16 year old pupils and (b) to post-16 pupils

Set out expectations around the length of the school day, term and year.

Describe the curriculum, setting out how it will be broad and balanced and meet the different needs and interests of all pupils, and the range of qualifications which might be offered.

Set out a curriculum model that shows what proportion of learning is given over to each subject or area of learning for each year group, and the time spent with employers.

Set out your approach to disabled pupils and pupils with Special Educational Needs, who may or may not have a statement, and set out how you will have regard to the SEN Code of Practice.

Organisation of pupils

Explain how pupils will be organised, for example through year groups, tutor groups or other class structures.

Pupil development and achievement

Show how the UTC will define, measure and hold governors and senior management accountable for the success of: i) the UTC as a whole; and ii) individual pupils.

Behaviour and Attendance

Show how the UTC will promote good behaviour, positive relationships and good attitudes to learning; and show how the school will maintain high levels of attendance.

Evaluation Criteria

Minimum criteria

- commitment that the UTC will adopt practices and arrangements that are consistent or in accordance with the School Admissions Code, the School Admission Appeals Code and admissions law as it applies to maintained schools
<http://www.education.gov.uk/schools/adminandfinance/schooladmissions>;
- a broad and balanced curriculum that addresses the needs of the area for high quality technical education;
- a viable curriculum plan with appropriate focus on core areas of learning, including but not limited to the core subjects of English, mathematics, science, and the technical subjects that are required in relation to the selected specialisms; and a regard for supporting young people to achieve the English Baccalaureate;
- a clear strategy for ensuring that the needs of pupils with different abilities are met;
- a clear definition of success and how it will be measured;
- a sound approach to behaviour management and attendance;
- fostering good community relations and promoting active contribution to modern British society, in line with the Equality Act.

Section 5: Evidence of demand and marketing

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

Information required

Evidence of demand

Provide information that shows clearly demand for your UTC, from parents and pupils; and from employers on the basis of skills shortages.

Tell us about any consultation that has taken place.

Demonstrate how you have - or how you intend to - make the school known and attractive to pupils from all backgrounds, including deprived or disadvantaged families.

You may consider providing wider demographic data and evidence about local need in the area to add context to the data from your survey findings.

Consultation and equality of opportunity

Please set out your plans for consultation, as set out under Section 10 of the Academies Act 2010. In doing so, you should consider your wider responsibilities under equalities legislation.

Marketing strategy

Provide a plan for how you will market the UTC to prospective pupils and how you propose to fill the UTC during the early years and for the medium to long term. Include details of any discussions you have had with the local authority to admit pupils.

Evaluation Criteria

Minimum Criteria

- Evidence of demand from parents, prospective pupils and employers on the basis of skills needs

Comparative criteria

- Demonstrate how you intend to reach out to the wider community, including children from a range of backgrounds and across the ability spectrum;

- A clear plan for the statutory consultation; and
- A robust marketing strategy built on your educational vision and plan, taking into account your proposed intake and the demand that you have already identified.

Further Guidance

Statutory Consultation:

<http://www.legislation.gov.uk/ukpga/2010/32/section/10>

Equality Act 2010: http://www.equalities.gov.uk/equality_act_2010.aspx

Section 6: Organisational capacity and capability

You must demonstrate to us that the sponsors have the capacity and expertise to set up and run a UTC.

Information required

Capacity and capability to set up a UTC

Show that you have considered the resources, people and skills that you will need to set up a UTC, and in particular demonstrate that you have educational and financial expertise on your long-term team. You should provide short (one-page maximum) C.V.s of key people leading the project at Appendix 3.

Set out plans for recruiting your school's Principal Designate (headteacher) and the role you envisage him/her playing in the pre-opening phase. Indicate what other capacity you will need during this phase and from where you will obtain it.

Set out plans for appointing a committed and independent governing body with the breadth of skills needed to oversee both the pre-opening and post-opening phases.

Capacity and capability to govern and manage a UTC

Please define the roles that you envisage being taken by the governing body of the UTC in setting the strategy, monitoring performance and holding the Principal and the senior team to account for the achievement of targets. Please confirm whether the Academy Trust will appoint one governor in consultation with BDT

Set out how you will have appropriate financial expertise to oversee the financial management of the UTC.

Set out your plans for the leadership and staffing of the UTC. This should reflect both the arrangements upon opening and as the UTC develops to full capacity, with clear delineation of roles and responsibilities.

Evaluation Criteria

Minimum criteria

- Plans for ensuring a clear, separate identity for the UTC through its leadership and organisation, including establishment of a Company Limited by Guarantee;
- Access to appropriate and sufficient educational and financial expertise;

- An adequate staffing structure to deliver the planned curriculum, building up from year one to when the UTC is at full capacity.

Comparative criteria

- The experience of the individuals involved in the project;
- A robust and realistic set of plans for recruiting high quality staff and governors in accordance with the proposed staffing structure and educational plans; and
- Clear understanding of the respective roles of the Sponsor(s), Academy Trust, and Principal Designate.

Section 7: Premises

You will need to set out the details of the proposed University Technical College site. State whether you plan to open the school initially in temporary accommodation, and set out details about assessments you have made of its suitability.

Set out the total capital cost of the University Technical College. If you wish to bid for DfE capital funding, please be clear about what proportion of your total funding this will constitute. Also set out the amount of capital you are seeking and as much detail as possible about how you would spend capital funding.

We will make an overall cost and value for money assessment of your proposed site options. Prior to 1 June 2011 Partnerships for Schools (“PfS”) will assess proposed sites for their suitability, procurement plans, and consideration of any work required. PfS will submit a site report on this basis which will be used in support of the selection process. A copy of this report will be made available to the sponsors. PfS will assist UTC applicants to secure sites.

Proposers should clearly articulate when the building is expected to be delivered, the building programme that gets to that delivery date and the delivery vehicle that the proposer intends to utilise. PfS will work with UTC projects to ensure that this process is comprehensive and that the delivery route proposed by the sponsors is appropriate.

We will make an overall cost and value for money assessment of your application. You should bear in mind that those applications that are able to achieve the optimal overall cost and best overall value for money will naturally be prioritised for approval over those that do not.

Information Required

Details of your University Technical College site (include a site plan at Appendix 4 clearly marked to show the area for use by the UTC)

Please set out (where you can):

- your reasons for choosing this site;
- the address of the proposed site;
- the current use of the proposed site;
- the current freeholder of the proposed site;
- a brief description of the site including size (in sqm) and the proposed pupil numbers;
- the availability of the site and the nature of the tenure; and
- details of any temporary accommodation that will be used from your proposed opening date.

Capital investment

Please describe any third party funding available to you (from sponsors or other sources) to support the UTC.

Provide details of any DfE capital requirements, including the specifics of how it would be used, why it is needed, and the impact on the project of not receiving DfE capital funding. This should include how you would seek to fund capital works deemed essential if your bid for DfE capital is unsuccessful.

Evaluation criteria

- The viability and quality of proposals for premises and equipment; and
- Value for money, making best use of available resources while maintaining the school's educational vision and objectives.

Note: We will make an overall value for money and cost assessment of the proposal and DfE capital requirements. We will also take into account other sources of capital funding available. Applications which are able to achieve the best value for money and optimal overall cost will be prioritised for approval over those that do not.

Section 8: Initial costs and financial viability

You must demonstrate that the cost of establishing your proposed UTC and bringing it to full capacity represents value for public money, making best use of available resources whilst maintaining the school's educational vision and objectives. You will also need to demonstrate that the University Technical College will be financially viable in the long term, and sustainable within the per pupil funding which it is likely to receive.

Information Required

Financial spreadsheet and long-term viability

You will need to demonstrate that your proposed UTC will be financially viable and sustainable within the per pupil funding that it is likely to receive once it is at full capacity ('steady state').

A financial plan should be submitted (Appendix 5), which builds up indicative income and expenditure budgets for the proposed UTC from opening until pupil numbers are forecast to have reached capacity. You should ensure it covers a minimum of five academic years.

If you are assuming significant income from sources other than DfE grant, you should provide a detailed assessment of how you would manage your budget and remain financially viable if these contributions were significantly less than expected.

Where there are uncertainties in the budget, you should use your current best estimates. You should state clearly the assumptions you have made in the financial spreadsheet.

Evaluation Criteria

Minimum criteria

- Demonstrate that the proposal to establish the UTC represents value for money in the use of public funding, whilst ensuring that the educational vision of the UTC can be delivered and its separate identity maintained;
- Demonstrate that the planned UTC will be financially sustainable once there is a full cohort of pupils in each year (as an expectation, this means generating in-year operating surpluses).

Comparative criteria

- Show that the planned UTC would be financially resilient to reductions in income caused by failure to recruit pupils to your best estimate recruitment pattern or failure to receive contributions from third party sources (where these are expected to be significant). As a minimum,

this means demonstrating that there is sufficient flexibility in the budget so that the UTC will be able to realistically change its expenditure to keep within reduced levels of income, without detriment to the delivery of the educational vision.

Further Guidance

Academy Financial Handbook – http://readingroom.ypla.gov.uk/ypla/ypla-academies_financial_handbook-gn-nov06.pdf

Visit the Schools Benchmarking website to see examples of maintained school finances: <https://sfb.teachernet.gov.uk/Login.aspx>