

Sponsor application form

Application to become an academy sponsor

June 2018

This application is for all applicants who wish to apply to become an academy sponsor.

Information to help you complete this form can be found at:

<https://www.gov.uk/sponsor-an-academy>

Please note that information provided in this application form, including personal information, may be subject to publication or disclosure in accordance with access to information regimes, particularly the Freedom of Information Act 2000 and the Data Protection Act 2018

# Part A: Applicant Details

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| --- | --- |
| **Date application submitted:** |  |
| **Name of sponsor organisation:** |  |
| **Company number:** |  |
| **Applicant contact name and role:** |  |
| **Full address:** |  |
| **Telephone number:** |  |
| **Email address**: |  |
| **Have you or members of your group ever applied to set up a free school, studio school, UTC or become a sponsor?**  | **Please tick all that apply:**

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| --- | --- | --- | --- |
| * Free School
 | * Studio School
 | * UTC
 | * Sponsor
 |

**If yes, please provide the following:**Name of school(s) or organisation:Date of application:Please describe the involvement of your group or group’s members in the application? Do you have any plans to apply for to set up a free school, studio school or UTC in the future?  |
| **How would you describe your organisation?** | **Please tick all that apply:**

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| --- | --- | --- | --- |
| * Primary School
 | * Special School
 | * All through (primary and Secondary)
 | * Alternative Provision
 |
| * Independent school
 | * Business Group
 | * Voluntary Group
 | * Diocese
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| * Existing UTC Proposer
 | * Existing Studio School Proposer
 | * FE College
 | * Grammar School
 |
| * TSA
 | * Philanthropist
 | * Faith Based Organisation
 | * University
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| * Parent Community Group
 | * Secondary School
 | * Residential Provision
 | * 6th Form College
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| * Free School
 | * Other (Please specify)
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| **If you are a school please provide further information:** | Has your governing body ratified its support for you becoming an academy sponsor: Yes / NoIf you are supported by a Church Diocese, have you received formal support to become an academy sponsor? (If relevant): Yes / No |
| **Type of academy/academies you plan to sponsor:** | **Please tick all that apply:**

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| --- | --- | --- | --- |
| * Primary School
 | * Special School
 | * All through (primary and Secondary)
 | * Alternative Provision
 |
| * Secondary School
 | * Residential Provision
 | * Other (Please specify)
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| **Geographical area(s) where you wish to work:** | **Please tick all that apply:**

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| --- | --- | --- | --- | --- |
| * Lancashire and West Yorkshire
 | * North East London and East
 | * East Midlands and Humber
 | * South London and South East
 | * North West London and South Central
 |
| * North
 | * West Midlands
 | * South West
 | * National
 |

**If you have specific LAs in mind, please provide further information:** |

# Part B: Applicant overview

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| **This section is about the strategic vision of your organisation, and your aspirations for growth. All other parts of the application should support this vision.** **(Recommended max 500 words)**  |
| You should consider the following:Role of a sponsor* Your understanding of the roles and responsibilities of being a sponsor and why you wish to become one.
* The communities that you will serve, and what assessment you have made of the particular challenges associated with these communities or schools.

Aims of the trust* Outline key values and ethos of your trust.
* The strategic vision of the trust and what you are trying to achieve.
* What schools joining your trust can expect in terms of support, challenge and autonomy.

Plans for growth* Your plans for how many academies you wish to sponsor in years 1, 2 and 3, and where they would be.
* Please provide further information regarding the type of provision you plan to sponsor as outlined in Part A.
* Please detail whether you plan to have converter academies in your multi-academy trust – if not please explain why.
* Your geographical approach, including any plans for growth beyond the area you identified in ‘Part A’ in your first 5 years and your rationale for this.
* What assessment you have made of your readiness for growth and how your organisation will need to adapt to facilitate planned growth.
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# Part C: School improvement

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| **This section is to ensure that there is a clear idea of the approach the academy trust will take to school improvement in order to realise its strategic vision. State clearly how School Improvement will be brought into the trust and how it will be undertaken.****(Recommended max 500 words)**  |
| You should consider including the following and provide practical examples where possible:* The trust’s school improvement model, and how it will drive the overall vision at every school within the trust (irrespective of current performance levels).
* Evidence of leaders’ understanding of excellent teaching and track record of school improvement.
* How you will use data to hold leaders to account and drive school improvement throughout the trust.
* What action would be taken where a school starts to fail - clear plans around how to support underperforming schools within a MAT.
* How the trust will draw on and collaborate with the wider system and schools outside the trust to drive improvement
* How the curriculum will support the school improvement model.
* How benchmarking will be used to drive school improvement.
* Please provide written declaration of links to any school improvement/subsidiary companies you may have; and if any conflicts of interest exist, how they will be managed.
* Please provide evidence of the support you have offered other schools and how well those schools have done with that support.
* Overseas sponsors - we expect overseas-based sponsors to provide additional information on their current footprint at home and in the UK, including schools they may already work with here.
 |
| **List the key people you will use to provide school improvement support** |
| For a clear understanding of the capacity you have within your organisation; please state the skills, specialism and any accreditations of the staff who will be driving school improvement.Please confirm whether individuals or organisations have been approached and formally agreed to provide support. If formal agreements are in place, please provide a brief summary of individuals /organisations’ record of achievements including evidence of impact they have previously made to school improvement.You may also wish to include detail of any Teaching School Alliance or other support network the trust is part of. |

# Part D (a): Governance structure



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| **This section is to ensure that there will be a clear governance structure for the academy trust and that the individuals within it will have the knowledge, skills and experience, as well as the capacity and commitment to deliver effective governance. Information regarding this requirement is defined in the Governance Handbook and Competency framework for governance** [**https://www.gov.uk/government/publications/governance-handbook**](https://www.gov.uk/government/publications/governance-handbook)**This section must also demonstrate compliance with the Academies Financial Handbook –** [**https://www.gov.uk/government/publications/academies-financial-handbook**](https://www.gov.uk/government/publications/academies-financial-handbook)**Effective Governance is based on 6 key features:** * **Strategic Leadership** *that sets and champions vision, ethos and strategy*
* **Accountability** *that drives up educational standards and financial performance*
* **People***with the right skills, experience, qualities and capacity*
* **Structures** *that reinforce clearly defined roles and responsibilities*
* **Compliance** *with statutory and contractual requirements*
* **Evaluation** *to monitor and improve the quality and impact of governance*

**Key points to consider:** **Members*** The Good Practice Guidance and Expectations for Growth <https://www.gov.uk/government/publications/multi-academy-trusts-establishing-and-developing-your-trust> states that trusts must have at least least 3 members, although the department’s strong preference is for at least 5 members. This provides for a diverse range of perspectives, robust decision making and reduces the risks of concentrating power. It also ensures that members can take decisions via special resolution without requiring unanimity.
* Employees of the proposed or existing academy trust cannot be board members of the trust (Governance Handbook Section 5, paragraph 24).
* The Governance Handbook states that the majority of board members are independent of the board of trustees (Governance Handbook Section 5, paragraph 28). Ensuring a significant degree of distinction between the individuals who are members and those who are trustees provides for more robust oversight of the board.
* Ensure LA-associated persons (Governance Handbook Section 5, paragraph 16) make up no more than 19.9% of the members.
* Overseas sponsors - The total number of board Members shall comprise of a majority of UK based individuals who shall have relevant UK educational expertise including experience of school improvement.

Trustees* The trust board should have the necessary expertise and capacity to undertake its three core functions of ensuring clarity of vision, ethos and strategic direction; holding executive leaders to account for the educational performance of the organisation and its pupils, and the performance management of staff; and overseeing the financial performance of the organisation and making sure its money is well spent.
* Should have a range of expertise, such as business, commercial, finance, legal, education, governance and HR. Where there is a gap in required skills, the board should ensure that this is addressed through recruitment, induction or training and how it will be sourced e.g. through Academy Ambassadors and/or Inspiring Governance.
* The trust board is responsible for the proper stewardship of public funds, including regularity and propriety, and for ensuring economy, efficiency and effectiveness in their use – three key elements of value for money.
* The academy trust articles of association prevents more than one third of a trust board being employees.
* The governance handbook sets an expectation that the CEO/Principal is the only trust employee on the board (Governance Handbook Section 5, paragraph 16).
* The board of trustees of the academy trust must appoint, in writing, a named individual who is both the senior executive leader and Accounting Officer. In multi-academy trusts this should be the chief executive or equivalent.

For Further Education Colleges it is good practice for the chair of the board of trustees to be someone external to the college rather than the chair of the college board.* Ensure LA-associated persons (Governance Handbook Section 5, paragraph 16) make up no more than 19.9% of the board.
* Overseas sponsors - The total number of Trustees shall comprise of a majority of UK based individuals who shall have relevant UK educational expertise including experience of school improvement.
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| **Please attach an A4 diagram showing the proposed structure of your academy trust or explain how you will ensure that your existing governance structure will be fit for purpose as a sponsor. This diagram must clearly show the lines of accountability between the trust and the academies that would join the trust to show how the trust will hold each academy to account. Use accompanying text where necessary to explain the detail. Use accompanying text where necessary to explain in detail.** Guidance on MAT structures is set out in the [Governance Handbook](https://www.gov.uk/government/publications/governance-handbook) and examples of structures in [The Good Practice Guidance and Expectations for Growth](https://www.gov.uk/government/publications/multi-academy-trusts-establishing-and-developing-your-trust)*.* |

# Part D (b): Key people

**Using the table below, please provide a brief biography for each of the persons fulfilling the specific roles outlined below, to demonstrate relevant experience in the key areas of: leadership; education improvement; finance; business; HR and data handling. The Acadmies Financial Handbook places requirements on all of these roles.**

**If any of these people have previously been a head teacher, please give the name of their most recent school, the dates of their headship and add their school performance data to Section F.**

* The senior executive leader/CEO of the trust, including their qualifications and experience for that role.
* The Finance Director, including their qualifications and experience for that role and how much time they expect to be able to give initially.
* The Members of the trust who are signatories to the articles of association and who have a similar role to shareholders in a company limited by shares.
* The board of trustees who manage the business of the academy trust.
* Other key partner organisations and individuals with whom the trust would work.

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| **Governance Structure Overview** |
| Please attach a diagram which shows who will take up the following posts and what the lines of accountability will be. * Number of Members
* Number of Trustees
* Executive leadership team
* Local Governing Bodies (LGBs), other committees
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| **Key Person Profile** |
| **Name** | **D.O.B.** | **Address** | **Position within the Trust (tick all that apply)** | **Has the individual consented to up this position?** | **Current responsibilities** Employment/ self-employment/other non-exec roles | **Current employer (company number)** | **Primary area of expertise**e.g. finance, marketing, education, HR | **Associated companies/ previous employers** | **Biography**Demonstrate relevant experience and expertise (max 250 words) –annex if necessary  |
|  |  |  | [ ] Member[ ] Trustee[ ]  CEO/ Executive headteacher [ ] Chair of trust [ ] Finance director[ ] Other: | [ ] Yes[ ] No |  |  |  |  |  |
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# Part E (a): Finance

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| **This section is about the financial performance of your existing organisation(s) (see Part E (b) which relates to the financial operations of the proposed or existing trust).****Key points to consider:*** **The board of trustees must approve a balanced budget, and any significant changes to that budget, for the financial year to 31 August, which can draw on unspent funds brought forward from the previous years (see Academies Financial Handbook 2017, Part 2, paragraph 2.3.1).**
* **Academy trusts must establish a committee, appointed by the board of trustees, to provide assurance over the suitability of, and compliance with, its financial systems and operational controls. (Academies Financial Handbook 2017, Part 2, paragraph 2.9.1).**
* **In accordance with the Companies Act 2006, academy trusts must:**
	+ **appoint an auditor and,**
	+ **produce audited accounts (Academies Financial Handbook 2017, Part 4, paragraph 4.1.1).**
 |
| **You are required to:*** Provide your most recent annual accounts and auditor management letter . If you are currently a maintained school, please provide a readout from the last set of financial plans for the previous year end that reconcile to published school balance data;
* Complete the table below to show the projected financial performance of your existing organisation(s) for the latest and the next three financial years. Existing academy trust should reconcile this to financial returns already made to ESFA – audited accounts and Budget Forecast Return; and
* Provide a detailed commentary to explain the reason for any deficits (negative carried forward balance) and the action you will take to avoid this. Please also provide commentary about actions you intend to take should you be forecasting a series of in-year deficits.

Present figures rounded to the nearest thousand and include any negative numbers in brackets.* For existing academies, the revenue balance brought forward into 2016/17 should reconcile to your closing revenue reserves in your audited accounts in 2015/16. For maintained schools, this should be reconcile to the closing school balance, as published, for 2015/16.

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| **Year** | **Revenue Balance b/fwd****£000****A** | **Revenue Income****£000****B** | **Revenue Expenditure £000****C** | **In-year surplus or deficit****£000****(B – C)**  | **Revenue Balance c/fwd** **£000****(A + B - C)** |
| 2016/17 |  |  |  |  |  |
| 2017/18 |  |  |  |  |  |
| 2018/19 |  |  |  |  |  |
| 2019/20 |  |  |  |  |  |

Commentary: |

# Part E (b): Finance

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| **This section is about the proposed or existing trust’s approach to financial planning**  |
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| **Please provide information on:*** **Your proposed or existing internal and external financial scrutiny/audit mechanisms;**
* **How your governance structure will/does ensure accountability throughout the trust and of your finance director; and**
* **How the trust will/does actively manages risks around finance and delivery.**

**Please note that it is good practice for FE colleges to have separate audit arrangements for any academy trust they establish.****Overseas sponsors**Overseas sponsors can submit the same version of the audited financial accounts themselves, which they have filed with their regulatory body, only in instances where the DfE is unable to access this information at the right level from the company register. You should consider including:* How your governance arrangements and reporting plans will/already ensure the Accounting Officer has sufficient oversight of finances throughout the trust;
* How financial and related risks will be identified, monitored, mitigated and escalated at both school and trust level;
* What types of risk will be managed at each level;
* What contingency plans are in place and what the triggers will be/are and
* What assessment you have made of how resilient your trust will be to changes in income, such as varying pupil numbers or demographics.

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| **How will the trust be financed and how do you intend to finance the growth of the trust over the next 3 years (if applicable):**

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| **What will be your approach to managing any schools you are intending to take on which currently have deficits (if applicable):**

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| **What steps will you take to ensure your financial model is sustainable and in-line with the growth plans you set out above – in particular, where income is dependent on external factors, please show that you have received demonstrable assurances that these factors will remain constant:**You should consider including:* How you intend to modify your financial processes and reporting arrangements to withstand the increased responsibility of growth;
* How you will grow financial expertise and capacity to oversee financial operations across the trust.

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| **Prospective sponsors of special and alternative provision academies should outline any agreement with a Local Authority or other bodies regarding the provision of High Needs funding and the likely continuing need for those places in the future:**

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| **Summarise your proposed full policy on charges made to schools, including level of top-slice and/or charging policy and what this will fund;**

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# Part F: Capacity and capability

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| **This section is about your ability to deliver high performing academies.** |
| If you are a Higher Education Institution, Independent School or Selective School, you may wish to contact the relevant regional office https://www.gov.uk/government/organisations/schools-commissioners-group who can provide further advice and support.* If your organisation is a school, Higher Education Institute, general FE or Sixth Form College the Department will draw on information it holds in relation to academic performance data.

Please provide the following:URN:Postcode:For all schools, please indicate if the current headteacher in post at the time of the most recent Ofsted inspection: Yes / No* If your organisation is a general FE or Sixth-Form College the Department will draw on information it holds in relation to key indicators; such as level 3 average points scores, valued-added measures and overall retention rates as measured against averages nationally and for colleges. The Department will use this data to help determine the overall suitability of a college to become a sponsor. The college’s latest Ofsted rating will also be taken into consideration.
* If you have supported any schools, the Department will draw on information it holds in relation to academic performance data for those schools. Please provide the following information for any schools you have supported:
* URNs of each school
* When this support started (and ended if applicable)
* For each school please explain any significant dips or increases over the period you have supported them.
* For each school please indicate if the current headteacher in post at the time of the most recent Ofsted inspection: Yes / No

For all organisations (whether your own or one you have supported), please give a brief explanation of the impact your school/schools you have supported have had on closing the gap between disadvantaged and other students: |

# Part G: Risk management

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| **This section asks your organisation to articulate internal control and risk management according to required standards as defined in the Competency Framework for Governance and section 2.9 of the Academies Financial Hanbook.****(Recommended max 500 words)**  |
| Please give details of your risk management strategy, that bears in mind that: * The trust must establish a control framework that recognises public expectations about governance, standards and openness;
* The trust should make a considered choice about its desired risk profile, taking account of its legal obligations, business objectives and public expectations;
* The trust must recognise and manage present and future risks to ensure its effective and continued operation;
* The trust should maintain a risk register; and
* The trust’s management of risks must include contingency and business continuity planning.
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# Part H: Declarations

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| **This section asks your organisation to confirm that you understand and agree to the Department for Education’s policies and principles, which are stated below.** |
| **Please read the following information regarding the Department’s at cost policy and confirm that you understand, and agree to abide by the principles of the policy, as set out in the Academies Financial Handbook** [**https://www.gov.uk/government/publications/academies-financial-handbook**](https://www.gov.uk/government/publications/academies-financial-handbook) **(section 3.10)**It is the policy of the Department that no individual or organisation should make a profit from connected parties. In applying to become an academy sponsor you are confirming that you understand, and will abide by, this policy. The details of the policy are explained in full in the academies financial handbook (see section 3.10). In brief, the sponsor agrees to:* ensure all members, directors, those named in the articles as able to appoint members and directors, and any DfE recognised academy sponsor – and any individuals or organisations closely related to these persons – deliver services to their academies at cost, with no element of profit (see AFH paragraph 3.10.12);
* support the academy in ensuring a fair and open procurement process can take place whenever the Academy wishes to source goods or services externally (see AFH paragraph 3.10.21); and
* bid for any of these contracts at cost; and to carefully manage any conflicts of interest (AFH paragraph 3.10.1).

The Academies Financial Handbook is available [here](https://www.gov.uk/government/publications/academies-financial-handbook).

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| Please indicate that you understand, and agree to abide by the principles of the policy by ticking this box: [ ]  |

**Please read the following information regarding the principles that the Secretary of State will consider an organisation’s or individual’s adherence in deciding whether to approve their sponsor application.**The Secretary of State will reject applications put forward by organisations that advocate violence or other illegal activities, or by individuals associated with such organisations. The Department regularly reviews approved sponsor status.  If the Secretary of State no longer considers that a sponsor meets the required standards, they may remove their approved sponsor status*.* The sponsor will ensure that it, as well as other individual members and trustees of the academy trust, promotes principles which support fundamental British values, including: * respect for the basis on which the law is made and applied in England;
* 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, religious and other beliefs.

Please tick this box to confirm that you agree to abide by and will ensure that these principles are adhered to: [ ] **I/we, sponsor applicant, agree to provide to the Department any additional information it requests to assess our application.** [ ]  |

# Privacy notice: application to become an academy sponsor

## Who we are

This work is being carried out by Academies Regional Delivery Group, which is a part of the Department for Education (DfE). For the purpose of data protection legislation, the DfE is the data controller for the personal data processed as part of applications to become an academy sponsor.

## How we will use your information

We receive your personal data from open sources available online, as well as from the information you provided in the application to become an academy sponsor. We are processing this in order to assess your suitability to be part of the governance structure of the proposed academy sponsor and meet the expectations of the department, as set out in the governance handbook and competency framework, January 2017

<https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/582868/Governance_Handbook_-_January_2017.pdf>

## The nature of your personal data we will be using

The categories of your personal data that we will be using for this project are: name, date of birth, address, employment and company association history, insolvency history, disqualified director status, removed charity trustee status

## Why our use of your personal data is lawful

In order for our use of your personal data to be lawful, we need to meet one (or more) conditions in the data protection legislation. In this case, it is necessary for the department to carry out this work, and to use the information for these purposes, to exercise its functions as specified under Chapter 2, S8 (d) of the Data Protection Act 2018.

## Who we will make your personal data available to

We sometimes need to make personal data available to other organisations. These might include contracted partners (who we have employed to process your personal data on our behalf) and/or other organisations (with whom we need to share your personal data for specific purposes).

Where we need to share your personal data with others, we ensure that this data sharing complies with data protection legislation.

## How long we will keep your personal data

We will only keep your personal data for as long as we need it for the purpose(s) of this piece of work, after which point it will be securely destroyed. Please note that under Data Protection legislation, and in compliance with the relevant data processing conditions, personal data can be kept for longer periods of time when processed purely for archiving purposes in the public interest, scientific or historical research, and statistical purposes.

## Your data protection rights

You have the right:

* to ask us for access to information about you that we hold
* to have your personal data rectified, if it is inaccurate or incomplete
* to request the deletion or removal of personal data where there is no compelling reason for its continued processing
* to restrict our processing of your personal data (i.e. permitting its storage but no further processing)
* to object to direct marketing (including profiling) and processing for the purposes of scientific/historical research and statistics
* not to be subject to decisions based purely on automated processing where it produces a legal or similarly significant effect on you

If you need to contact us regarding any of the above, please do so via the DfE site at: <https://www.gov.uk/contact-dfe>.

Further information about your data protection rights appears on the Information Commissioner’s website at:
<https://ico.org.uk/for-organisations/guide-to-data-protection/principle-6-rights/>.

## The right to lodge a complaint

You have the right to raise any concerns with the Information Commissioner’s Office (ICO) via their website at <https://ico.org.uk/concerns/>.

## Last updated

We may need to update this privacy notice periodically so we recommend that you revisit this information from time to time. This version was last updated on 18/06/2018.

## Contact Info

If you have any questions about how your personal information will be used, please contact us at OSC.SponsorApplication@education.gov.uk. For the Data Protection Officer (DPO) please contact us via [gov.uk](https://www.gov.uk/contact-dfe) and mark it ‘for the attention of the DPO’.



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