

Urgent Capital Support (UCS) Application Form

August 2021

| Insert the name of your academy or 6th form college below using BLOCK CAPITALS |
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# The application form explained

Before completing your application, please ensure that you have read the [*how to apply: guide for applicants*](https://www.gov.uk/guidance/condition-improvement-fund) document carefully. Please also ensure that you can provide all the information and documentation required, as failure to do so may mean that we will be unable to consider your application.

## Sections

The declaration must be made by the accounting officer on behalf of the academy or sixth-form college. The declaration section is found on page 8 of this form.

The main section of the application is made up of four sections as follows:

* **Section A:** Institution and contact details
* **Section B:** Emergency capital request details
* **Section C:** Finances
* **Section D:** Project management

## Submitting the application

The completed Word document needs to be submitted by email to the department at academy.questions@education.gov.uk. Your email must be no larger than 9MB in size. If your documents are larger than 9MB, please send multiple emails clearly indicating that the emails are connected (e.g. email 1 of 3).

Please title your email as follows: **Urgent Capital Support Application – [insert institution name].** All documents and templates should include the name of your school. The application must be submitted by the responsible body (the trust, academy or college) rather than a professional adviser.

## Data protection

Personal data is collected in the templates in order to consider your application and will not be used for other purposes. For the purposes of the Data Protection Act, the Department for Education (DfE) 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 emergency capital application process.

## Application checklist

|  |  |  |
| --- | --- | --- |
| 1. **Task to complete**
2. Have you provided information on all of the following areas (where appropriate)?
 | **Yes** | **No** |
| **Declaration signed**Signed and submitted by the responsible body. In so doing, they acknowledge that, they have read the guidance and that this application does meet the criteria, and to the best of their knowledge, the information contained is accurate.  |[ ]  [ ]  |
| **Section A - Institution and contact details**  |[ ]  [ ]  |
| **Section B - Project details** (as applicable to the category of your urgent capital needs): |  |  |
| Category A: Structural issues* included a structural survey, from an appropriately qualified professional, with photos of the affected area
* considered capacity/allocation of space for an operational solution pending a bid for urgent capital support
* iIllustrated the size and function of the area involved and the location on the site
 |[ ] [ ]
| Category B: Urgent Health & Safety (H&S) compliance issues* included a H&S report (with photos) from an appropriately qualified professional
* illustrated the specific issue to be addressed, its impact and the reason for the urgency of resolution
 |[ ] [ ]
| Category C: Urgent asbestos issue* included a report (with photos) from an appropriately qualified professional
* illustrated the grade of the asbestos and how it is to be managed
 |[ ] [ ]
| Category D: Fire protection* included a report (with photos) and/or Fire Risk Assessment from a Fire Officer or an appropriately qualified professional
* illustrated the specific issue to be addressed and the urgency of its resolution
 |[ ] [ ]
| Category E: Leaking roofs* included a condition report (with photos) from an appropriately qualified professional
* illustrated the extent of the disruption caused, the frequency and the impact of the leaks
 |[ ] [ ]
| Category F: Boiler and pipework failure* illustrated the extent of the disruption, the specific areas affected and the proportion of the school affected
* included photographic evidence
* considered asbestos factors and illustrated if required
* considered heating systems as a whole and illustrated if required
* included energy usage modelling and likely savings
 |[ ]  [ ]  |
| Category G: Electrical issues* included a report (with photos) from an appropriately qualified professional – clearly applying classification of urgency reference codes
* considered asbestos factors and illustrated if required
 |[ ]  [ ]  |
| **Section C - Project finance details****You will need to provide a completed finance template with your application. This can be downloaded from the Urgent Capital Support section of the** [**CIF web page**](https://www.gov.uk/guidance/condition-improvement-fund#urgent-capital-support-ucs) |[ ]  [ ]  |
| **Section D - Project management** |[ ]  [ ]  |
| **Supporting documents** (as annexes to application, either pasted into this document or listed and attached to the submission email as separate files). * at least 3 contractors' quotes and/or tenders
* independent condition survey (recently commissioned)
* photographic evidence (if appropriate)
* notice issued by Local Authority, HSE or the Fire Service. (if appropriate)
* a police report following an incident (if appropriate)
* an accident report (if appropriate)
* an insurance report (if appropriate) or explanation of why the project is not covered by insurance or Risk Protection Arrangements (RPA).
 | [ ]  | [ ]  |
| Have you sent an email (of no more than 9 MB in size\*), titled: **Urgent Capital Support Application – [insert institution name]**with all relevant information relating to Sections A to D (as applicable) of your application to: academy.questions@education.gov.uk.\* If you need to send multiple emails to complete your application, in order to keep emails below 9MB in size, you must clearly indicate that emails are connected (e.g. email 1 of 3 in the subject line). This will ensure that we receive and are able to consider all of your supporting evidence. |[ ] [ ]

# Declaration

**\*\*This must be signed by the chief accounting officer on behalf of the academy trust or sixth-form college\*\***

I confirm that the information provided in this application is correct to the best of my knowledge and meets the criteria. I further confirm that if the application is successful we will:

* deliver as per the requirements outlined in the [*how to apply: guide for applicants*](https://www.gov.uk/guidance/condition-improvement-fund) document
* deliver the project as per the provisions of the [academies financial handbook](https://www.gov.uk/government/publications/academies-financial-handbook)
* agree to apply the allocated funding to deliver the named project(s), in line with the original application and according to the terms and conditions of the grant and/or loan, and have appropriate systems and processes in place to secure delivery and achieve value for money
* start work and complete the project by the dates set out in the original application and notify the DfE if any slippage or delay occurs, or if any underspends emerge at the earliest possible opportunity
* implement the provisions of the post approval guidance document issued upon approval

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

|  |  |
| --- | --- |
| **Signature** |  |
| **Position** | Chief Accounting Officer |
| **Print name** |  |
| **Date (DD/MM/YYYY)** |  |

# Completing the application form

## Section A – institution and contact details

This section will need to be completed by **all** applicants. Please:

* Refer to the relevant section of [*how to apply: guide for applicants*](https://www.gov.uk/guidance/condition-improvement-fund) document and checklist for what should be included in this section.

|  |
| --- |
| **Institution Details** |
| URN |  | DfE Estab. No. |  |
| Institution Name |  |
| Institution Address |  |
| Local Authority |  |
| Capacity |  | No on Roll |  |
| Phase | [ ]  Primary (including middle deemed primary)[ ]  Secondary (including middle-deemed-secondary)[ ]  All-through [ ]  Special[ ]  Alternative Provision [ ]  6th Form College |
| **Trust Details** |
| Name of Trust |  |
| Company Number |  |
| No of schools in Trust |  | Total No of pupils |  |
| Is the academy in receipt of or due to receive School Condition Allocation (SCA)? (If yes, please note that the academy is not eligible for this fund. Please refer to the guidance document). |  |
| **Contact Details** |
| Contact Name/Position |  |
| Email |  |
| Telephone No. (direct) |  |

## Section B – Urgent Capital Request Details

This section will need to be completed by **all** applicants. Please:

* Refer to the relevant section of [*how to apply: guide for applicants*](https://www.gov.uk/guidance/condition-improvement-fund) document and checklist for what should be included in this section.

|  |
| --- |
| **Project details (check all boxes that apply)** |
| Project Type | [ ]  Structural [ ]  H&S[ ]  Asbestos [ ]  Fire Protection[ ]  Leaking Roofs [ ]  Boiler/Pipework[ ]  Electrical [ ]  Other (Please provide details below) |

|  |
| --- |
| **Description of project*** What is your urgent capital situation?
* Please provide a brief description of what has happened.
* How does this issue threaten closure of your institution?
* What are the short/long term contingency arrangements?
* Where you have selected ‘other’ above, please ensure you provide the details here.
 |
| [Add text here - table expands] |

|  |
| --- |
| **Outputs to be achieved*** What works are necessary to fix this issue?
* Please include options being considered, and related costs/benefits as known.
 |
| [Add text here - table expands] |

|  |
| --- |
| **Deliverability*** Timeline for deliverability
* Complications to delivery e.g. during term time, impact on pupils
* Risks
 |
| [Add text here - table expands] |

|  |
| --- |
| **Why is the project urgent?**Include:* Date the issue arose
* Evidence against the eligibility criteria
 |
| [Add text here - table expands] |

|  |
| --- |
| **Has funding previously been granted for this project/issue?**(if yes, please provide details, including previous CIF Emergency or main round CIF) |
| [Add text here - table expands] |

|  |
| --- |
| **Are you in the risk protection arrangements (RPA) scheme?**(If not RPA, please provide details of your insurance and whether you are seeking a contribution to address this issue) |
| [Add text here - table expands] |

## Section C – Finances

This section will need to be completed by **all** applicants. Please:

* Refer to the relevant section of [*how to apply: guide for applicants*](https://www.gov.uk/guidance/condition-improvement-fund) document and checklist for what should be included in this section.
* Provide a completed financial template which can be downloaded [here](https://www.gov.uk/guidance/condition-improvement-fund#urgent-capital-support-ucs)

**Institution finances**

Please note, as part of the assessment process we review the latest copies of your financial returns. However, you wil also need to complete the financial template and email this to us along with your application form.

|  |  |
| --- | --- |
| **Item** | **Comments** |
| Please provide any additional commentary here, to accompany your complerted financial template  |  |
| Please provide details of any live loans. |  |

**Quote/Tender details**

Note: Add additional lines if required. All quotations should be tendered against the same scope of works. Academies must exclude VAT from all project costs. Sixth-form colleges can include VAT in the project cost as they cannot reclaim it.

|  |  |  |
| --- | --- | --- |
| **Quotes/Tenders** | **Amount** | **Comments** |
| Option 1 |  |  |
| Option 2 |  |  |
| Option 3 |  |  |
| Preferred Quote |  |  |

**Project costs** (please ensure that you reference the various quotes received, advice from professionals etc)

|  |  |  |
| --- | --- | --- |
| **Expenditure**  | **Amount** | **Comments** |
| Cost of works |  |  |
| Professional Fees (not to exceed 10%) |  |  |
| Disbursements (planning, building regulations, specialist surveys etc) |  |  |
| Other Costs[[1]](#footnote-1) (Ex VAT) |  |  |
| TOTAL |  |  |

|  |
| --- |
| **How will you demonstrate value for money?** |
| [Add text here - table expands] |

**Payment profiling**

|  |  |
| --- | --- |
| **Month/Year** | **Amount** |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
| **TOTAL** |  |

Evidence should include (subject to the size and scale of the project):

* consultants’ cost plan (breakdown of costs) appropriate to the size and scale of the project
* copies of either 3 contractor quotes or a summary of any tender exercise attached as annexes as part of evidence
* cash flow forecast (where appropriate)
* market testing to demonstrate additional/abnormal costs, where appropriate
* letters of funding commitment from other sources (if applicable) as annexes

## Section D – Project Management

This section will need to be completed by **all** applicants. Please:

* Refer to the relevant section of [*how to apply: guide for applicants*](https://www.gov.uk/guidance/condition-improvement-fund) document and checklist for what should be included in this section.
* Please provide a detailed Project Programme/Gantt Chart (if appropriate) as an annex to this document.

|  |  |  |
| --- | --- | --- |
| **Milestones** | **Dates** | **Comments** |
| Design complete |  |  |
| Planning approval required or secured(if applicable) |  |  |
| Tender complete (has a contractor been appointed; tender details provided; procurement route) |  |  |
| Start on site(forecast start on site details) |  |  |
| Completion(forecast completion of works details) |  |  |

**Risk Management** – comprehensive risk assessment with mitigations

|  |  |  |  |
| --- | --- | --- | --- |
| **Risk Description** | **Likelihood**(Low, Medium Low,Medium High or High) | **Impact**(Low, Medium Low,Medium High or High) | **Mitigation** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **Risk management comments** |
|  |

# Annexes

Please add supporting documents as applicable, appropriately headed with page breaks inbetween. Please refer to the checklist (page 5) and [*how to apply: guide for applicants*](https://www.gov.uk/guidance/condition-improvement-fund) as a reference tool for what supplementary evidence should be provided for each type of project.

1. Generally contingency funds will not be considered and should not be included. If the circumstances are exceptional and can be fully justified, please include here with a full explanation in the value for money section at the end of the table. [↑](#footnote-ref-1)