

**FREEDOM OF INFORMATION REDACTION SHEET**  
**ASPIRE ACADEMY**  
**FUNDING AGREEMENT**

<p><b>Exemptions in full</b> n/a</p>	
<p><b>Partial exemptions</b> Personal information has been redacted from this document under Section 40 of the Freedom of Information (FOI) Act.  Section 40 of the FOI Act concerns personal data within the meaning of the Data Protection Act 1998.</p>	
Factors for disclosure	Factors for withholding
<ul style="list-style-type: none"> <li>▪ to further the understanding of and increase participation in the public debate of issues concerning Free Schools.</li> <li>▪ to ensure transparency in the accountability of public funds</li> </ul>	<ul style="list-style-type: none"> <li>▪ to comply with obligations under the Data Protection Act</li> </ul>
<p><u>Reasons why public interest favours withholding information</u> Whilst releasing the majority of <b>Aspire Academy's</b> funding agreement will further the public understanding of Free Schools, the whole of <b>Aspire Academy's</b> funding agreement cannot be revealed. If the personal information redacted was to be revealed under the FOI Act, personal data would be prejudiced.</p>	

**ASPIRE ACADEMY**

**ALTERNATIVE PROVISION FREE SCHOOL  
FUNDING AGREEMENT**

9<sup>th</sup> April 2014

**ASPIRE ACADEMY  
FUNDING AGREEMENT**

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## INTRODUCTION

- 1) This Agreement is made under section 1 of the Academies Act 2010 between the Secretary of State for Education (“the Secretary of State”) and Archbishop Sentamu Academy (the “Academy Trust”).
- 2) The Academy Trust is a Company incorporated in England and Wales, limited by guarantee with registered Company number 6544825.
- 3) The following expressions used in this Agreement have the respective meanings assigned to them by the numbered clauses of this Agreement referred to immediately after the reference to the expressions -
  - a) “Academies Financial Handbook” - clauses 59 and 68;
  - b) “Accounting Officer” – clause 58;
  - c) "Annual Letter of Funding" - clause 53;
  - d) "GAG" – clause 41;
  - e) "Capital Expenditure" - clause 36;
  - f) “Capital Grant” – clause 36;
  - g) "EAG" - clause 48;
  - h) “Governing Body” – clause 13;
  - i) “Recurrent Expenditure” – clause 35.
- 4) In this Agreement the following words and expressions shall have the following meanings:-

“Academy Financial Year” means the year from 1<sup>st</sup> September to 31<sup>st</sup> August in any year or such other period as the Secretary of State may from time to time specify by notice in writing to the Academy Trust;

“the Articles” means the Articles of Association of the Academy Trust for the time being in force;

“Business Day” means any day other than a Saturday, Sunday, Christmas Day, Good Friday or a day which is a bank holiday with the meaning given to that expression in the Banking and Financial Dealings Act 1971;

“Chief Inspector” means Her Majesty’s Chief Inspector of Education, Children’s Services and Skills or his successor;

“Commissioner” means local authorities and/or schools referring children/pupils to the alternative provision Academy for admission under the legal powers set out at Annex B;

“Control’ in relation to a body corporate (‘Entity’) means either the legal or beneficial ownership of 30 per cent or more of the issued shares in the Entity ordinarily having voting rights or the power of a person (‘A’) otherwise to secure –

(a) either by means of the holding of shares in that Entity or having an interest conferring voting rights at general meetings of the membership of that Entity or of any other body corporate;

(b) by virtue of any powers conferred by the Articles or other document regulating that Entity or any other Entity or partnership including, without limitation, the power to appoint or remove a majority of the governing body thereof, or

(c) by virtue of any agreement, understanding or arrangement between any person or persons,

that the affairs of the first-mentioned Entity are conducted in accordance with the wishes of A and ‘Control’ shall be construed accordingly;

“DfE” means Department for Education and any successor;

“Insured Risks” means fire, lightning, explosion, earthquake, storm, tempest, flood, subsidence, landslip, heave, impact, terrorism, bursting or overflowing of water tanks and pipes, damage by aircraft and other aerial devices or

articles dropped there from, riot and civil commotion, labour disturbance and malicious damage and such other risks as the Academy Trust insures against from time to time subject in all cases to any exclusions or limitations as may from time to time be imposed by the insurers or underwriters;

"LA" means the Local Authority in the area in which the alternative provision Academy is situated;

"the Land" means the land (including for the avoidance of doubt all buildings, structures landscaping and other erections) situated at and known as part of the former Isaac Newton Secondary School Site, Hemswell Avenue, Hull, HU9 5LB , registered under HS347757 and edged red on the plan attached at Annex D making up the permanent site of the alternative provision Academy or the part of such land remaining in the ownership of the Academy Trust, following any disposal in accordance with clause 108I(c) ii or clause 108K;

"the Lease" means the leasehold agreement or its equivalent between the Academy Trust and any third party ("the Landlord") in respect of the site upon which the alternative provision Academy is situated;

"Memorandum" means the Memorandum of Association of the Academy Trust for the time being in force;

"parents" means parents or guardians;

"persons" includes a body of persons, corporate or incorporate;

"Principal" means the head teacher of the alternative provision Academy;

"Principal Regulator" means the body or person appointed as the Principal Regulator under the Charities Act 2011;

references to "school" shall where the context so admits be references to the alternative provision Academy;

"SEN" means Special Educational Needs;

“SENCO” means Special Educational Needs Co-ordinator; and

“Start up period” means up to a maximum of 2 Academy Financial Years after the date of this agreement

- 5) The Interpretation Act 1978 shall apply for the interpretation of this Agreement as it applies for the interpretation of an Act of Parliament
- 6) Expressions defined in this Agreement shall have the same meaning where used in any Annex to this Agreement.
- 7) Questions arising on the interpretation of the arrangements in this Agreement shall be resolved by the Secretary of State after consultation with the Academy Trust.
- 8) Section 1 (3) of the Academies Act 2010 states that:
  - (3) An Academy agreement is an agreement between the Secretary of State and the other party under which-
    - (a) the other party gives the undertakings in subsection (5), and
    - (b) the Secretary of State agrees to make payments to the other party in consideration of those undertakings.

## **LEGAL AGREEMENT**

- 9) In consideration of the Academy Trust undertaking to establish and maintain, and to carry on or provide for the carrying on of, an independent school in England to be known as the Aspire Academy (“the alternative provision Academy”) and meeting such requirements as are referred to in clause 10, the Secretary of State agrees to make payments to the Academy Trust in accordance with the conditions and requirements set out in this Agreement. For the avoidance of doubt, any obligations imposed upon or powers given to the alternative provision Academy by this Agreement are also imposed upon the Academy Trust.

## **ALTERNATIVE PROVISION ACADEMY REQUIREMENTS**

- 10) The alternative provision Academy requirements are those set down in Section



1C of the Academies Act 2010.

## **ALTERNATIVE PROVISION ACADEMY OPENING DATE**

11) The alternative provision Academy shall open as a school on 2 September 2014;  
or

## **CONDITIONS OF GRANT**

### **General**

12) Other conditions and requirements in respect of the alternative provision Academy are that:

a) the school will be at the heart of its community, promoting community cohesion and sharing facilities with other schools and the wider community;

b) (i) unless there are exceptional reasons to do otherwise, there will be assessments of pupils' performance as they apply to maintained schools; and

(ii) there will be the opportunity to study for qualifications in accordance with clause 29 (d);

c) the admissions policy and arrangements for the school will be in accordance with Annex B;

d) teachers' levels of pay and conditions of service at the alternative provision Academy will be the responsibility of the Academy Trust;

e) there will be an emphasis on the needs of the individual pupils including pupils with special education needs (SEN), both those with and without statements of SEN; and

(f) there will be no charge to pupils (or their parents or guardians) in respect of admission to, or attendance at, the school and the school will only charge pupils where the law allows maintained schools to charge.

12A) Clause 12 (f) does not prevent the Academy Trust receiving funds/income from

Commissioners in respect of the admission and attendance of a pupil at the alternative provision Academy.

### **Governance**

13) The alternative provision Academy will be governed by a governing body (“the Governing Body”) who are the Directors of the company constituted under the Articles of the Academy Trust.

14) The Governing Body shall have regard to (but for the avoidance of doubt shall not be bound by) any guidance as to the governance of Academy Trusts that the Secretary of State may publish.

### **Conduct**

15) The Academy Trust will conduct the alternative provision Academy in accordance with:

- a) the Articles;
- b) all provisions by or under statute which confer rights or impose obligations on alternative provision Academies including, without limitation, the independent schools standards prescribed under section 157 of the Education Act 2002 to the extent they apply to the alternative provision Academy;
- c) the terms of this Agreement.

### **Disclosure and Barring Service Checks**

16) The Academy Trust shall comply with the requirements of part 4 of Schedule 1 to the Education (Independent School Standards) (England) Regulations 2010 (SI 2010/1997) (or such other regulations as may for the time being be applicable) in relation to requiring enhanced disclosure and barring service checks, obtaining disclosure and barring service certificates and making any further checks, as required and appropriate for members of staff, supply staff, individual Governors and the Chair of the Governing Body.

16A) The Academy Trust shall, on receipt of a copy of a disclosure and barring

service certificate, on request from the Secretary of State or his agents, as soon as possible thereafter submit such information to the Secretary of State in accordance with section 124 of the Police Act 1997.

## **Pupils**

17) The planned number of places at the alternative provision Academy is 150 places in the age range 10 - 16. The planned number of places and the age ranges are not determinative of GAG. GAG for each Academy Financial Year will be determined by the Secretary of State in accordance with clauses 42A and 42B. The alternative provision Academy will provide education for the cohort of pupils whose characteristics are set out in the requirements at 1C of the Academies Act and whose requirements for:

- a) the admission of pupils to the alternative provision Academy are set out in Annex B to this Agreement;
- b) the admission to the alternative provision Academy of and support for pupils with SEN and with disabilities (for pupils who have and who do not have statements of SEN) are set out in Annex C to this Agreement;
- c) pupil exclusions are set out in regulations made by virtue of section 51A of the Education Act 2002 (as may be amended or modified from time to time, and includes any successor provision(s)).

## **Designated Teacher for Looked After Children**

17A) The Academy Trust will in respect of the alternative provision Academy act in accordance with, and be bound by, all relevant statutory and regulatory provisions and have regard to any guidance and codes of practice issued pursuant to such provisions, as they apply at any time to a maintained school, relating to the designation of a person to manage the teaching and learning programme for children who are looked after by a LA and are registered pupils at the school. For the purpose of this clause, any reference to the governing body of a maintained school in such statutory and regulatory provisions, or in any guidance and code of practice issued pursuant to such provisions, shall be deemed to be references to the Governing Body of the Academy Trust.

## **Teachers and other staff**

18) Subject to clause 19, the Academy Trust shall, in accordance with any guidance which the Secretary of State may issue on the qualifications of teaching and other staff in Academies, employ anyone it deems is suitably qualified or is otherwise eligible under a contract of employment or for services to carry out planning and preparing lessons and courses for pupils, delivering lessons to pupils, assessing the development, progress and attainment of pupils, and reporting on the development, progress and attainment of pupils.

19) Clause 18 does not apply to anyone who (a) is appointed as the SENCO by the Academy Trust under section 317(3A) of the Education Act 1996, who must meet the requirements set out in Regulation 3 of the Education (Special Educational Needs Co-ordinators) (England) Regulations 2008 (SI 2008/2945); or (b) is appointed as a designated teacher for looked after children further to clause 17A.

20) The Academy Trust shall ensure that all teachers employed at the alternative provision Academy have access to the Teachers Pension Scheme and, in so doing, will comply with the statutory provisions underlying the scheme.

21) The Academy Trust shall ensure that all employees at the alternative provision Academy other than teachers ("Non-teaching Staff") have access to the Local Government Pension Scheme in accordance with the Local Government Pension Scheme (Administration) Regulations 2008 [SI 2008/239] (or such other regulations as may for the time being be applicable).

21A) Where a teacher employed at the alternative provision Academy applies for a teaching post at another Academy, maintained school, school maintained by a local authority or institution within the further education sector, the Academy Trust must at the request of the governing body or Academy Trust of that other education institution:

a) advise in writing whether or not in the preceding two years, there has been any formal consideration of that teacher's capability to perform their role at the alternative provision Academy; and

b) provide written details of the concerns which gave rise to any such

consideration of that teacher's capability, the duration of the proceedings and their outcome.

**Curriculum, curriculum development and delivery, and RE and collective worship**

22) The curriculum provided by the alternative provision Academy to pupils up to the age of 16 shall be broad and balanced.

22A) The Academy Trust shall publish information in relation to its current curriculum provision. Such information shall include details relating to

- a) the content of the curriculum;
- b) its approach to the curriculum;
- c) the GCSE options (and other Key Stage 4 qualifications) or other future qualifications, as specified by the Secretary of State, offered by the alternative provision Academy (if applicable);
- d) the names of any phonics or reading schemes in operation for Key Stage 1 (if applicable);
- e) how parents (including prospective parents) and Commissioners can obtain further information in relation to the alternative provision Academy's curriculum.

22B) Subject to the requirements of clauses 22 and 22A and 23 to 28B, the curriculum will be the responsibility of the Academy Trust.

23) The Academy Trust shall ensure that the broad and balanced curriculum includes English and mathematics.

23A) Sections 42A (provision of careers guidance) and 45A (guidance as to discharge of duties) of the Education Act 1997 shall be deemed to apply to the alternative provision Academy with the following modifications:

- a) the alternative provision Academy shall be treated as falling within the meaning of "a school" under section 42A(2);

b) the Academy Trust shall be deemed to be the “responsible authorities” for the purposes of subsection 42A (3); and

c) references to registered pupils shall be treated as references to registered pupils at the alternative provision Academy.

24) The Academy Trust may make provision for the teaching of religious education and for a daily act of collective worship at the alternative provision Academy.

24A) The Academy Trust shall not make provision in the context of any subject for the teaching, as an evidence-based view or theory, of any view or theory that is contrary to established scientific and/or historical evidence and explanations.

24B) Where relevant to the curriculum, the Academy Trust shall make provision for the teaching of evolution as a comprehensive, coherent and extensively evidenced theory.

25) Not used;

26) Where the alternative provision Academy does (at its discretion in accordance with clause 24) make provision for the teaching of religious education and/or for a daily act of collective worship at the alternative provision Academy then:

a) subject to clause 27, the Academy Trust shall ensure that any such provision shall be made for religious education to be given to all pupils at the alternative provision Academy in accordance with the requirements for agreed syllabuses in section 375(3) of the Education Act 1996 and paragraph 2(5) of Schedule 19 to the School Standards and Framework Act 1998;

b) subject to clause 27, the Academy Trust shall ensure that the alternative provision Academy complies with the requirements of section 70(1) of, and Schedule 20 to, the School Standards and Framework Act 1998 as if it were a community or foundation school which does not have a religious character, except that the provisions of paragraph 4 of that Schedule do not apply. The alternative provision Academy may apply to the Secretary

of State for consent to be relieved of the requirement imposed by paragraph 3(2) of that Schedule, the Secretary of State's consent to such an application not to be unreasonably withheld or delayed.

c) Not used

26A) Not used.

27) Section 71(1) – (6) and (8) of the School Standards and Framework Act 1998 shall apply as if the alternative provision Academy were a community, foundation or voluntary school, and as if references to “Religious Education” and to “Religious Worship” in that section were references to the religious education and religious worship provided by the alternative provision Academy in accordance with clause 26.

28) The Academy Trust shall have regard to any guidance issued by the Secretary of State, further to section 403 of the Education Act 1996, on sex and relationship education to ensure that children at the alternative provision Academy are protected from inappropriate teaching materials and they learn the nature of marriage and its importance for family life and for bringing up children. The Academy Trust shall also have regard to the requirements set out in section 405 of the Education Act 1996 which shall apply to the alternative provision Academy as if it were a maintained school.

28A) The Academy Trust agrees to act in accordance with sections 406 (political indoctrination) and 407 (duty to secure balanced treatment of political issues) of the Education Act 1996 as if it were a maintained school, subject to the following modifications:

- a) references to any maintained school shall be treated as references to the alternative provision Academy;
- b) references to registered pupils shall be treated as references to registered pupils at the alternative provision Academy;
- c) references to the governing body or the local authority shall, in each case, be treated as references to the Academy Trust; and

- d) references to the head teacher shall, in each case, be treated as references to the Principal of the alternative provision Academy<sup>1</sup>.

28B) The Academy Trust shall ensure that principles are promoted 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 and religious and other beliefs.

### **Assessment**

29) The Secretary of State will notify the appropriate body for assessment purposes about the alternative provision Academy.

- a) Unless there are exceptional reasons to do otherwise, the Academy Trust shall ensure that the alternative provision Academy complies with any guidance issued by the Secretary of State from time to time to ensure that pupils take part in assessments and in teacher assessments of pupils' performance as they apply to maintained schools.

- b) The Academy Trust shall report to any body on assessments under clause 29 as the Secretary of State shall require and shall provide such information as may be required by that body as applies to maintained schools.

- c) In respect of all Key Stages, the Academy Trust will submit the alternative provision Academy to monitoring and moderation of its assessment arrangements as required by the Secretary of State.

- d) The Academy Trust may offer:-

- (i) any course of education or training at the alternative provision Academy which leads to a qualification that is approved by the Secretary of State for the purposes of section 96 of the Learning and Skills Act 2000; and

- (ii) any course of education or training not falling within paragraph

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<sup>1</sup> Please also see the Charity Commission guidance (CC9): "Speaking out: Guidance on Campaigning and Political Activities by Charities" <http://www.charity-commission.gov.uk/Publications/cc9.aspx>



(i) if the Secretary of State gives his specific written approval for it.

29A) Subject to clause 29AA the Academy Trust shall ensure that the following information is published on the alternative provision Academy's website:

a) The school's most recent Key Stage 2 results as published by the Secretary of State under the following column headings in the School Performance Tables published on the Department for Education's website:

- (i) "% achieving Level 4 or above in English and maths";
- (ii) "% making expected progress";
- (iii) in relation to English, "% achieving Level 5 or above"; and
- (iv) in relation to maths, "% achieving Level 5 or above".

(if applicable)

b) The school's most recent Key Stage 4 results as published by the Secretary of State under the following column headings in the School Performance Tables published on the Department for Education's website:

- (i) "% achieving 5 + A\* -C GCSEs (or equivalent) including English and maths GCSEs"
- (ii) "% achieving the English Baccalaureate"; and
- (iii) "% of pupils making expected progress".

(if applicable)

c) Information as to where and by what means parents (including prospective parents) and Commissioners may access the most recent report about the school published by the Chief Inspector.

d) Information as to where and by what means parents (including prospective parents) and Commissioners may access the School Performance Tables published by the Secretary of State on the Department

for Education's website.

29AA) There is no requirement to publish information under clause 29 A if to do so would be in breach of the Academy Trust's obligations under the Data Protection Act 1998.

### **International Education Surveys**

29B) Section 538A of the Education Act 1996 (power to direct participation in international surveys) shall be deemed to apply to the alternative provision Academy with the following modifications:

(a) references to the governing body shall be treated as references to the Academy Trust; and

(b) references to community, foundation or voluntary school shall be treated as references to the alternative provision Academy.

30) Not used

### **School Meals**

31) The Academy Trust shall, if requested to do so by or on behalf of any pupils at the alternative provision Academy, provide school lunches for those pupils unless it would be unreasonable for it to do so. Subject to the provisions of clause 32 charges may be levied for lunches, but the Academy Trust shall otherwise fund the cost of such school lunches.

32) In relation to a pupil who is himself or whose parents are in receipt of benefits mentioned in section 512ZB of the Education Act 1996 (or equivalent provision governing the entitlement to free school lunches of pupils at maintained schools), the Academy Trust shall ensure that a school lunch is provided for such a pupil free of charge to be funded by the Academy Trust.

### **Charging**

33) Sections 402 (obligation to enter pupils for public examinations), 450 - 457 (charges), 459 (regulations about information about charges and school hours) and 460 (voluntary contributions), 461 (recovery of sums as civil debt) - 462 (Interpretation re charges) of the Education Act 1996 (including, for the avoidance of

doubt, any secondary legislation made further to those provisions) shall be deemed to apply to the alternative provision Academy with the following modifications:

- a) references to any maintained school shall be treated as references to the alternative provision Academy;
- b) references to registered pupils shall be treated as references to registered pupils at the alternative provision Academy;
- c) references to the governing body or the local authority shall, in each case, be treated as references to the Academy Trust;
- d) Not used;
- e) the Academy Trust may charge persons who are not registered pupils at the alternative provision Academy for education provided or for facilities used by them at the alternative provision Academy<sup>2</sup>; and
- f) not used.

33A) Not used.

## **DURATION OF SCHOOL DAY AND YEAR**

33B) The duration of the school day and year will be the responsibility of the Academy Trust.

## **GRANTS TO BE PAID BY THE SECRETARY OF STATE**

### **General**

34) The Secretary of State shall pay grants towards Recurrent Expenditure and may pay grants towards Capital Expenditure for the alternative provision Academy. Except with the Secretary of State's prior agreement, the Academy Trust shall not budget for its expenditure in any Academy Financial Year in excess of expected income (subject to clause 72). The Academy Trust shall not enter into commitments

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<sup>2</sup> For clarification, such charging is separate and distinct from any arrangement that the Academy Trust may make with Commissioners concerning the referral of pupils to the alternative provision Academy.

which are likely to have substantial implications for future levels of grant, or for the period for which grant may be required. No decision by the Academy Trust shall commit the Secretary of State to paying any particular amount of grant.

35) "Recurrent Expenditure" means any expenditure on the establishment, conduct, administration and maintenance of the alternative provision Academy which does not fall within the categories of capital expenditure set out at clause 36.. The Secretary of State shall pay separate and distinct grants in respect of Recurrent Expenditure: General Annual Grant ("GAG"), Earmarked Annual Grant ("EAG") and where appropriate Additional Funding under clause 56.

### **Capital Grant**

36) "Capital Expenditure" means expenditure on:

- a) the acquisition of land and buildings;
- b) the erection, enlargement, improvement or demolition of any building including fixed plant, installation, wall, fence or other structure, or any playground or hard standing;
- c) the installation of electrical, mechanical or other services other than necessary replacements, repairs and maintenance due to normal wear and tear;
- d) the purchase of vehicles and other self-propelled mechanical equipment;
- e) the installation and equipping of premises with furnishings and equipment, other than necessary replacements, repairs and maintenance due to normal wear and tear;
- f) the installation and equipping of premises with computers, networking for computers, operating software and information and communication technology equipment, other than necessary updates or necessary replacements, repairs and maintenance due to normal wear and tear;
- g) the provision and equipping of premises, including playing fields and other facilities for social activities and physical recreation other than necessary

replacements, repairs and maintenance due to normal wear and tear;

- h) works of a permanent character other than the purchase or replacement of minor day-to day items;
- i) any major repairs or replacements which are specified as constituting capital expenditure in any grant letter relating to them;
- j) such other items (whether of a like or dissimilar nature to any of the foregoing) of a substantial or enduring nature as the Secretary of State may agree shall constitute capital expenditure for the purposes of this Agreement;
- k) all professional fees properly and reasonably incurred in connection with the provision of any of the above;
- l) VAT and other taxes payable on any of the above.

“Capital Grant” means grant paid to the Academy Trust in respect of Capital Expenditure.

37) Where the alternative provision Academy is to open in new premises, or where existing premises are to be substantially refurbished or remodelled to enable the alternative provision Academy to open in such premises, the Secretary of State may, in his absolute discretion, be responsible for meeting the incurred Capital Expenditure for that alternative provision Academy. To that end, the Secretary of State will consider providing funding in accordance with any arrangements as he considers appropriate.

38) Any Capital Expenditure incurred in respect of the alternative provision Academy, on which Capital Grant payments are sought from the Secretary of State, will require the specific prior written agreement of the Secretary of State, which agreement shall not be unreasonably withheld or delayed.

39) Any payment of Capital Grant to the Academy Trust under this Agreement is subject to the fulfilment of the following conditions:

- a) such grants are used solely to defray expenditure approved by the Secretary

of State;

b) the Academy Trust certifying and providing evidence that all planning and other consents necessary for the development and all related infrastructure to be completed have been obtained or put in place; and

c) any other conditions that the Secretary of State may specify.

### **Arrangements for Payment of Capital Grant**

40) Capital Grant will be paid by the Secretary of State to the Academy Trust on the basis of claims for grant submitted to the Secretary of State in the notified format with supporting invoices and certificates as required by the Secretary of State. If a dispute arises as to whether a claim is or is not acceptable both parties undertake to attempt to resolve it in good faith. In the event of such a dispute, the Secretary of State shall pay to the Academy Trust so much of the claim as shall not be in dispute.

### **General Annual Grant**

41) GAG will be paid by the Secretary of State to the Academy Trust as a contribution<sup>3</sup> to the normal running costs of the alternative provision Academy. These will include, but are not limited to:

- a) teachers' salaries and related costs (including full and part time teaching staff and seconded teachers);
- b) non-teaching staff salaries and related costs (including pension contributions, educational support staff, administrative and clerical staff and manual and premises related staff);
- c) employees' expenses;
- d) the purchase, maintenance, repair and replacement:
  - (i) of teaching and learning materials and other educational equipment, including books, stationery and ICT equipment and software, sports equipment and laboratory equipment and materials;

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<sup>3</sup> The extent of any such contribution to be within the absolute discretion of the Secretary of State.

(ii) of other supplies and services;

- e) examination fees;
- f) repairs, servicing and maintenance of buildings (including redecoration, heating, plumbing, lighting etc); maintenance of grounds (including boundary fences and walls); cleaning materials and contract cleaning; water and sewage; fuel and light (including fuel oil, solid and other fuel, electricity and gas); rents; rates; purchase, maintenance, repairs and replacement of furniture and fittings;
- g) insurance;
- h) medical equipment and supplies;
- i) staff development (including in-service training);
- j) curriculum development;
- k) the costs of providing school meals for pupils (including the cost of providing free school meals to pupils who are eligible to receive them), and discretionary grants to pupils to meet the cost of pupil support, including support for pupils with special educational needs or disabilities (taking account of the fact that separate additional money will be available for pupils with statements of special educational needs);
- l) administration;
- m) establishment expenses and other institutional costs.

42) Subject to clauses 44-45, GAG for each Academy Financial Year for the alternative provision Academy will include:

- a) Funding determined by the Secretary of State and notified in the Annual Letter of Funding or its equivalent, taking account of the number of pupils and/or places at the alternative provision Academy;
- b) Funding for the cost of functions which would be carried out by the local authority if the alternative provision Academy were a maintained school, such

funding to be determined at the discretion of the Secretary of State;

c) Funding for matters for which it is necessary for the alternative provision Academy to incur extra costs, to the extent that those costs are deemed in the discretion of the Secretary of State to be necessary; and

d) Payments equivalent to further, specific grants made available to maintained schools, where the alternative provision Academy meets the requisite conditions and criteria necessary for a maintained school to receive these grants, such payments to be at the discretion of the Secretary of State;

42A) The Secretary of State will determine GAG for the alternative provision Academy for each Academy Financial Year. The determination will be made taking into account relevant factors. Arrangements for this will be set out in the Annual Letter of Funding or its equivalent.

42B) The Secretary of State may make provision, within his absolute discretion, for GAG to be adjusted in-year if the number of pupils attending the alternative provision Academy at specified dates exceeds or falls below thresholds specified by letter. Arrangements for this will be set out in the Annual Letter of Funding or its equivalent.

43) Not used

43A) Not used

43AA) Not used

43B) Not used

43C) Not used

43D) Not used

44) The Secretary of State may pay further grant in the Start-up period, as determined and specified by him, for costs which cannot otherwise be met from GAG.

45) The Secretary of State recognises that if he serves notice of intention to



terminate this Agreement, the intake of new pupils during the notice period is likely to decline and that in such circumstances payments based simply upon the number of pupils attending the alternative provision Academy are unlikely to be sufficient to meet the alternative provision Academy's needs during the notice period. In those circumstances, the Secretary of State may undertake to pay a reasonable and appropriately larger GAG with respect to the alternative provision Academy in the notice period than would be justified solely on the basis of the methods set out in clauses 42-43D, in order to enable the alternative provision Academy to operate effectively.

46) The Secretary of State also recognises that if this Agreement is terminated for any reason by either party the number of pupils at the alternative provision Academy is likely to decline. In these circumstances both parties undertake to attempt to resolve issues arising from such termination in good faith and with the aim of protecting the interests and the education of the pupils at the alternative provision Academy.

47) GAG paid by the Secretary of State shall only be spent by the Academy Trust towards the normal running costs of the alternative provision Academy.

### **Earmarked Annual Grant**

48) Earmarked Annual Grant ("EAG") may be paid by the Secretary of State to the Academy Trust in respect of either Recurrent Expenditure or Capital Expenditure for such specific purposes as may from time to time be agreed between the Secretary of State and the Academy Trust and as described in the relevant funding letter. The Academy Trust shall only spend EAG in accordance with the scope, terms and conditions of the grant set out in the relevant funding letter.

49) Where the Academy Trust is seeking a specific EAG in relation to any Academy Financial Year, it shall submit a letter outlining its proposals and the reasons for its request to the DfE.

### **Arrangements for Payment of GAG and EAG**

50) The Secretary of State shall notify the Academy Trust at a date preceding the start of each Academy Financial Year of the GAG and EAG figures in respect of the

alternative provision Academy which, subject to Parliamentary approval, the Secretary of State plans for that Academy Financial Year and of the assumptions and figures on which these are based.

51) If GAG or EAG is calculated incorrectly due to a mistake of the Secretary of State then:

a) if this leads to an underpayment of GAG, the Secretary of State will correct the underpayment in subsequent Academy Financial Years;

b) if this leads to an overpayment of GAG, the Secretary of State reserves the right to recover any overpaid grant in subsequent Academy Financial Years, as appropriate, having considered all the relevant circumstances and taking into account any representations from the Academy Trust.

52) If GAG or EAG is calculated incorrectly because the Academy Trust provides incorrect information to the Secretary of State then:

a) if this leads to an underpayment of GAG, the Secretary of State may correct the underpayment in subsequent Academy Financial Years;

b) if this leads to an overpayment of GAG, the Secretary of State reserves the right to recover any overpaid grant in subsequent Academy Financial Years, as appropriate, having considered all the relevant circumstances and taking into account any representations from the Academy Trust.

53) The amounts of GAG for an Academy Financial Year will be determined annually by the Secretary of State. The amount of GAG for the alternative provision Academy for the initial Academy Financial Year will be notified to the Academy Trust in a funding letter at a date preceding that year. For subsequent years the amount of GAG will be notified to the Academy Trust in a funding letter preceding that Academy Financial Year (the "Annual Letter of Funding"). The Annual Letter of Funding or its equivalent will not include the amount that the Academy Trust will receive in respect of grants for which information to enable timely calculation is not available or is incomplete. Such grants will be notified as soon as practicable later in the year. Amounts of EAG will be notified to the Academy Trust wherever possible in the

Annual Letter of Funding or its equivalent or as soon as practicable thereafter.

54) The Secretary of State undertakes to pay GAG in monthly instalments on or before the twenty fifth day of each month, each such instalment to be used towards the salaries and other payroll costs for the relevant month of all monthly paid employees and all other costs payable during the next following month. The detailed arrangements for payment will be set out in the Annual Letter of Funding or its equivalent.

### **Additional Funding**

55) Not used.

56) Not used.

57) The Academy Trust may also receive funding from a LA in respect of the provision detailed in statements of SEN for pupils attending an alternative provision Academy in accordance with the provisions of Section 483A of the Education Act 1996 and regulations made under that section. The Academy Trust shall ensure that all provision detailed in statements of SEN is provided for such pupils.

## **FINANCIAL AND ACCOUNTING REQUIREMENTS**

### **General**

58) The Academy Trust shall appoint an Accounting Officer and shall notify the Secretary of State of that appointment.

59) In relation to the use of grant paid to the Academy Trust by the Secretary of State, the Academy Trust shall abide by the requirements of and have regard to the guidance in the Academies Financial Handbook published by the DfE and amended from time to time ,which sets out in detail provisions for the financial management of the alternative provision Academy including guidance on financial systems and controls and accounting and reporting requirements, in so far as these are not inconsistent with any accounting and reporting requirements and guidance that it may be subject to by virtue of it being a charity.

59A) The Academy Trust shall abide by the requirements of the current 16 to 19 Funding Guidance published by the Secretary of State as amended from time to

time, or such other guidance on 16 to 19 funding issued by the Secretary of State as may from time to time be applicable, in respect of any of its provision for persons who are above compulsory school age until the academic year in which they reach the age of 19.

60) The formal budget plan must be approved each Academy Financial Year by the Governing Body of the Academy Trust.

61) Any payment of grant by the Secretary of State in respect of the alternative provision Academy is subject to his being satisfied as to the fulfilment by the Academy Trust of the following conditions:

a) in its conduct and operation it shall apply financial and other controls which conform to the requirements both of propriety and of good financial management;

b) arrangements have been made to maintain proper accounting records and that statements of income and expenditure and balance sheets may be produced in such form and frequency as the Secretary of State may from time to time reasonably direct;

c) in addition to the obligation to fulfil the statutory requirements referred to in sub-clause f) below, the Academy Trust shall prepare its financial statements, Directors' report, Annual Accounts and its Annual Return for each Academy Financial Year in accordance with the Statement of Recommended Practice as issued by the Charity Commission and updated from time to time as if the Academy Trust was a non-exempt Charity and/or in such form or manner as the Secretary of State may reasonably direct and shall file these with the Secretary of State and the Principal Regulator by 31 December each Academy Financial Year;

d) a statement of the accounting policies used should be sent to the Secretary of State with the financial statements and should carry an audit report stating that, in the opinion of the auditors, the statements show a true and fair view of the Academy Trust's affairs and that the grants were used for the purposes intended;

e) the Academy Trust shall ensure that its accounts are audited annually by independent auditors appointed under arrangements approved by the Secretary of State;

f) the Academy Trust prepares and files with the Companies Registry such annual accounts as are required by the Companies Act 2006;

g) the Academy Trust shall publish on its website its Annual Accounts, Annual Report, Memorandum and Articles, Funding Agreement and a list of the names of the Governors of the Academy Trust;

h) the Academy Trust insures or procures insurance by another person of its assets in accordance with normal commercial practice or under the terms of the Lease.

62) In addition, and at his expense, the Secretary of State may instruct auditors to report to him on the adequacy and effectiveness of the accounting systems and internal controls maintained by the Academy Trust to standards determined by the Secretary of State and to make recommendations for improving the financial management of the Academy Trust.

63) The books of accounts and all relevant records, files and reports of the Academy Trust including those relating to financial controls, shall be open at all reasonable times to officials or agents of the DfE and the National Audit Office and to contractors retained by the DfE or the National Audit Office for inspection or the carrying out of value for money studies; and the Academy Trust shall secure that those officials and contractors are given reasonable assistance with their enquiries. For the purposes of this clause 'relevant' means in any way relevant to the provision and use of grants provided by the Secretary of State under this Agreement.

64) The Academy Trust shall submit information relating to the alternative provision Academy's finances to the Secretary of State in accordance with the requirements of the Academies Financial Handbook as amended from time to time or as otherwise specified from time to time by the Secretary of State.

65) At the beginning of any Academy Financial Year the Academy Trust may hold

unspent GAG from previous Academy Financial Years amounting to such percentage (if any) as for the time being specified in the Academies Financial Handbook or otherwise as the Secretary of State may specify by notice in writing to the Academy Trust prior to the beginning of that Academy Financial Year of the total GAG payable for the Academy in the Academy Financial Year just ended or such higher amount as may from time to time be agreed. The Academy Trust shall use such carried forward amount for such purpose, or subject to such restriction on its use, as for the time being specified in the Academies Financial Handbook or otherwise as the Secretary of State may specify by notice in writing to the Academy Trust.

66) Notwithstanding clause 65, any additional grant provided over and above that set out in clause 42, and made in accordance with clauses 44-45 may be carried forward without limitation or deduction until the Start-up Period or the circumstances set out in clause 45 come to an end.

67) Any unspent GAG not allowed to be carried forward under clauses 65-66 will be taken into account in the payment of subsequent grant.

67A) If the Secretary of State pays grant not including GAG to the Academy Trust on condition either that such grant be used for a particular purpose or purposes or that such grant be used by a certain date, any failure on the part of the Academy Trust to use such grant for such a purpose or purposes or by such date may be taken into account by the Secretary of State either:

- (i) in the same Academy Financial Year that such grant is paid to the Academy Trust; or
- (ii) in the calculation and/or payment of any subsequent grant to the Academy Trust; or
- (iii) by an adjustment to the GAG paid by the Secretary of State to the Academy Trust in the following Academy Financial Year or Academy Financial Years.

67B) If the Secretary of State or his agents pay any grant to the Academy Trust which includes an amount to cover the VAT which will be payable by the Academy

Trust in using any such grant for the purposes intended, the Academy Trust shall, having paid the VAT to a third party for any goods or services it has purchased from such a third party, where entitled, promptly and, in any event, as soon as is reasonably practicable, submit a VAT reclaim application to Her Majesty's Revenue and Customs (HMRC) in respect of such VAT payment. Any failure, on the part of the Academy Trust, to submit a VAT reclaim application to HMRC or repay the amount recouped to the Secretary of State as soon as reasonably practicable following the receipt of any such payment from HMRC may be taken into account by the Secretary of State either:

- (a) in the same Academy Financial Year that any such grant is paid to the Academy Trust; or
- (b) in the calculation and/or payment of any subsequent grant to the Academy Trust; or
- (c) by an adjustment to the GAG paid by the Secretary of State to the Academy Trust in the following Academy Financial Year or Academy Financial Years.

67C) GAG paid by the Secretary of State shall only be used by the Academy Trust for the educational charitable purpose of advancing for the public benefit education in the United Kingdom, in particular but without prejudice to the generality of the foregoing by establishing, maintaining, carrying on, managing and developing an alternative provision Academy offering a broad and balanced curriculum. Such funds shall not be used by the Academy Trust for any other charitable purpose without the prior written consent of the Secretary of State, except where the use of such funds for that charitable purpose is merely incidental to their use for the educational charitable purpose of advancing for the public benefit education in the United Kingdom.

68) The Academy Trust may also spend or accumulate funds from private sources or public sources other than grants from the Secretary of State for application to the benefit of the alternative provision Academy as it sees fit provided that it complies with all applicable requirements relating to the proper and regular use of funds in the Academies Financial Handbook. Any surplus arising from private sources or public sources other than grants from the Secretary of State shall be separately identified in the Academy Trust's balance sheet.

69) The Academy Trust shall not, in relation to assets or property funded (whether in whole or in part) by the Secretary of State or otherwise coming within the meaning of publicly funded land as defined by paragraph 22(3) of Schedule 1 to the Academies Act 2010, without the prior written consent of the Secretary of State which shall not be unreasonably withheld or delayed:

a) except such as are given in normal contractual relations, give any guarantees, indemnities or letters of comfort above a value as for the time being specified in the Academies Financial Handbook or otherwise as the Secretary of State may specify by notice in writing to the Academy Trust from time to time;

b) write off any debts or liabilities owed to it nor offer to make any ex gratia payments (such as staff severance or compensation payments), above a value as for the time being specified in the Academies Financial Handbook or otherwise as the Secretary of State may specify by notice in writing to the Academy Trust from time to time;

c) except as may be permitted in the Academies Financial Handbook or otherwise as the Secretary of State may specify by notice in writing to the Academy Trust, make any sale or purchase or otherwise dispose of freehold or leasehold property including entering into a contract to dispose of land or granting an option to acquire an interest in land; or

d) take up any leasehold or tenancy agreement.

70) The Academy Trust shall provide 30 days' prior written notice to the Secretary of State, whether or not the circumstances require the Secretary of State's approval, of its intention to:

a) give any guarantees, indemnities or letters of comfort;

b) write off any debts owed to it or offer to make any ex gratia payments;

c) make any sale or purchase of or otherwise dispose of freehold or leasehold property including entering into a contract to dispose of land or granting an option to acquire an interest in land; or



d) take up any leasehold or tenancy agreement.

71) Each discovered loss of an amount exceeding the amount from time to time being specified by the Secretary of State, and arising from suspected theft or fraud, shall be reported by the Academy Trust to the Secretary of State at the earliest opportunity.

72) It is the responsibility of the Academy Trust to ensure that the alternative provision Academy balances its budget from Academy Financial Year to Academy Financial Year. For the avoidance of doubt, this does not prevent the Academy Trust from:

a) subject to clause 65, carrying a surplus from one Academy Financial Year to the next; or

b) carrying forward from a previous Academy Financial Year or Academy Financial Years a sufficient surplus or sufficient cumulative surpluses on grants from the Secretary of State to meet an in-year deficit on such grants in a subsequent financial year; or

c) incurring an in-year deficit on funds from sources other than grants from the Secretary of State in any Academy Financial Year, provided it does not affect the Academy Trust's responsibility to ensure that the alternative provision Academy balances its overall budget from Academy Financial Year to Academy Financial Year.

72A) The Academy Trust shall abide by the requirements of and have regard to the Charity Commission's guidance to charities and charity trustees and in particular the Charity Commission's guidance in the Protecting Charities from Harm ('the compliance toolkit') and in CC9: Speaking Out, Campaigning and Political Activities by Charities, as amended from time to time. Any references in such guidance which require charity trustees to report to the Charity Commission should instead be interpreted as references to report to the Principal Regulator.

### **Borrowing Powers**

73) Except as may be permitted in the Academies Financial Handbook (as amended

from time to time) or otherwise as the Secretary of State may specify by notice in writing to the Academy Trust, the Academy Trust shall not borrow against or so as to put at risk property or assets funded (whether in whole or in part) by the Secretary of State without specific approval of the Secretary of State, such approval at the absolute discretion of the Secretary of State. The Academy Trust shall not operate an overdraft except to cover irregularities in cash flow. Such an overdraft, and the maximum amount to be borrowed, must be approved by the Academy Trust in a General Meeting and in writing by the Secretary of State, and shall be subject to any conditions which the Secretary of State may reasonably impose.

74) The Academy Trust shall provide 30 days written notice to the Secretary of State of its intention to borrow, whether or not such borrowing requires the Secretary of State's approval under clause 73 above.

### **Disposal of Assets**

75) Where the Academy Trust acquires assets for a nil consideration or at an under value it shall be treated for the purpose of this Agreement as having incurred expenditure equal to the market value of those assets at the time that they were acquired. This provision shall not apply to assets transferred to the Academy Trust at nil or nominal consideration and which were previously used for the purposes of an alternative provision Academy and/or were transferred from a LA, the value of which assets shall be disregarded.

76) The sale or disposal by other means, or reinvestment of proceeds from the disposal, of a capital asset by the Academy Trust shall require the consent of the Secretary of State, such consent not to be unreasonably withheld or delayed, where:

- a) the Secretary of State paid capital grant in excess of the value from time to time being specified by the Secretary of State for the asset; or
- b) the asset was transferred to the Academy Trust from a LA for no or nominal consideration.

77) Furthermore, reinvestment of a percentage of the proceeds of disposal of a capital asset paid for with a capital grant from the Secretary of State shall require the Secretary of State's consent in the circumstances set out above and reinvestment

exceeding the value from time to time being specified by the Secretary of State or with other special features will be subject to Parliamentary approval. The percentage of the proceeds for which consent is needed is the percentage of the initial price of the asset which was paid by capital grant from the Secretary of State.

78) This clause applies in the event, during the lifetime of this Agreement, of the disposal of a capital asset for which capital grant of any amount was paid by the Secretary of State, where the asset was acquired by the Academy Trust. In this event, the Academy Trust shall repay to the Secretary of State the same proportion of the proceeds of the disposal as equates with the proportion of the original cost met by the Secretary of State, unless the Secretary of State agrees to some or all of the proceeds being retained by the Academy Trust for its charitable purposes.

79) This clause applies in the event, during the lifetime of this Agreement, that the Secretary of State consents to the disposal of an asset which was transferred to the Academy Trust from an LA for no or nominal consideration. In this event the Secretary of State may give consent on the basis that all or part of the proceeds of the disposal should be made over to the LA from which the asset was transferred, taking into account the amount of the proceeds to be reinvested by the Academy Trust. The Secretary of State will have regard to any representations from the Academy Trust and the LA from which the asset was transferred before giving consent under this clause.

80) Except with the consent of the Secretary of State, the Academy Trust shall not dispose of assets funded (whether in whole or in part) by the Secretary of State for a consideration less than the best price that can reasonably be obtained, such consent not to be unreasonably withheld or delayed.

81) The Academy Trust shall provide 30 days notice to the Secretary of State of its intention to dispose of assets for a consideration less than the best price that can reasonably be obtained, whether or not such disposal requires the Secretary of State's consent under clause 80 above.

## **TERMINATION**

### **General**

82) Either party may give not less than seven Academy Financial Years' written notice to terminate this Agreement, such notice to expire on 29 August 2021 or any subsequent anniversary of that date.

### **Termination Warning Notice**

83) The Secretary of State shall be entitled to issue to the Academy Trust a written notice of his intention to terminate this Agreement ("Termination Warning Notice") where he considers that:

- a) the Academy is no longer meeting the requirements referred to in clause 10 of this Agreement (subject to clause 89);
- b) the conditions and requirements set out in clauses 12-33A of this Agreement are no longer being met;
- c) the standards of performance of pupils at the alternative provision Academy are unacceptably low;
- d) there has been a serious breakdown in the way the alternative provision Academy is managed or governed;
- e) the safety of pupils is threatened (whether by breakdown of discipline or otherwise); or
- f) the Academy Trust is otherwise in material breach of the provisions of this Agreement.

83A) A Termination Warning Notice issued by the Secretary of State in accordance with clause 83 shall specify:

- a) reasons for the Secretary of State's issue of the Termination Warning Notice;
- b) the remedial measures which the Secretary of State requires the Academy Trust to carry out, with associated deadlines, in order to rectify the defaults identified ("Specified Remedial Measures"); and
- c) the date by which the Academy Trust must respond to the Termination Warning Notice providing its representations with regard thereto or confirm that it accepts and agrees to undertake the Specified Remedial Measures.

84) The Secretary of State shall consider any response and representations from the Academy Trust which are received by the date specified in accordance with clause 83A)c) and shall confirm whether he considers that:

- a) in light of the Academy Trust's representations in response to the Termination Warning Notice, some or all of the Specified Remedial Measures are not required to be implemented (and if so which) and/or the Specified Remedial Measures are being or will be implemented with the specified timeframe; or
- b) subject to any further measures he reasonably requires ("Further Remedial Measures") being implemented by a specified date or any evidence he requires being provided, the implementation of such measures has been or will be successfully completed within the specified timeframes; or
- c) he is not satisfied that the Academy Trust will rectify the defaults identified in the Termination Warning Notice within the specified timeframes. (In such circumstances, the Secretary of State may notify the Academy Trust of his intention to terminate the Agreement on a specified date.)

85) The Secretary of State may by notice in writing terminate this Agreement with effect from a specified date in the event that :

- a) the Academy Trust has not, by the date specified in clause 83A(c), responded to the Termination Warning Notice either confirming that it accepts and agrees to undertake the Specified Remedial Measures or providing its representations with regard to the Specified Remedial Measures; or;
- b) the Academy Trust has not carried out the Specified Remedial Measures and/or Further Remedial Measures within the specified timeframes; provided that, having considered any representations made by the Academy Trust pursuant to clause 83A)c), the Secretary of State remains satisfied that it is appropriate to terminate the Agreement.

### **Notice of Intention to Terminate**

86 The Secretary of State may at any time give written notice of his intention to terminate the Agreement where the Chief Inspector gives notice to the Academy Trust in accordance with section 13(3) of the Education Act 2005 stating that in the

Chief Inspector's opinion –

(a) special measures are required to be taken in relation to the alternative provision Academy; or

(b) the alternative provision Academy requires significant improvement.

87) Any notice issued by the Secretary of State in accordance with clause 86 shall invite the Academy Trust to respond with any representations within a specified timeframe.

88) Where the Secretary of State has given notice of his intention to terminate this Agreement in accordance with clauses 86 and 87 and –

a) he has not received any representations from the Academy Trust within the timeframe specified in clause 87; or

b) having considered the representations made by the Academy Trust pursuant to clause 87, the Secretary of State remains satisfied that it is appropriate to terminate this Agreement

he may by notice in writing terminate this Agreement with effect from a specified date.

### **Termination with Immediate Effect**

89) If the Secretary of State has cause to serve a notice on the Academy Trust under section 165 of the Education Act 2002 and a determination (from which all rights of appeal have been exhausted) has been made that the alternative provision Academy shall be struck off the Register of Independent Schools, he may terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on the date of the notice.

90) The Secretary of State may at any time by notice in writing terminate this Agreement, such termination to take effect on the date of the notice, on the occurrence, or where in his reasonable opinion there is a serious risk of occurrence, of any of the following events:-

a) the Academy Trust calls a meeting of its creditors (whether formal or informal) or enters into any composition or arrangement (whether formal or informal)

with its creditors; or

- b) the Academy Trust proposes a voluntary arrangement within Section 1 of the Insolvency Act 1986; or
- c) the Academy Trust is unable to pay its debts within the meaning of Section 123 of the Insolvency Act 1986 provided that, for the purposes of this clause, Section 123 (1)(a) of the Insolvency Act 1986 shall have effect as if the amount of £10,000 was substituted for £750. The Academy Trust shall not be deemed unable to pay its debts for the purposes of this clause if any such demand as is mentioned in the said Section is being contested in good faith by the Academy Trust; or
- d) the Academy Trust has a receiver and manager (with the exception of Receivers and Managers or Interim Managers appointed by the Charity Commission under the Charities Act 2011 or any subsequent re-enactment of that Act), administrator or administrative receiver appointed over all or any part of its undertakings, assets or income; or
- e) any distraint, execution or other process is levied or enforced on any of the Academy Trust's property and is not paid out, withdrawn or discharged within fifteen Business Days; or
- f) the Academy Trust has passed a resolution for its winding up; or
- g) an order is made for the winding up or administration of the Academy Trust.

91) The Academy Trust shall notify the Secretary of State as soon as possible after receiving any petition which may result in an order for the winding up or administration of the Academy Trust and shall provide an explanation to the Secretary of State of the circumstances giving rise to the service of such a petition.

91A) If the Secretary of State is satisfied that any Governor or Member of the Academy Trust is not a suitable person he may:

- (a) in relation to such a Governor or Member serve notice in writing to the Academy Trust requiring the Academy Trust to procure the resignation or removal of the person(s) within 42 days of the date of the notice; and if the Academy Trust fails to procure the said resignation or removal within the time specified, the Secretary of State may terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on

the date of the notice; or

(b) terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on the date of the notice.

91A) If the Secretary of State is satisfied that any Governor or Member of the Academy Trust is not a suitable person he may:

- a) in relation to such a Governor or Member serve notice in writing to the Academy Trust requiring the Academy Trust to procure the resignation or removal of the person(s) within 42 days of the date of the notice; and if the Academy Trust fails to procure the said resignation or removal within the time specified, the Secretary of State may terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on the date of the notice; or
- b) terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on the date of the notice.

91B) For the purposes of clauses 91F and 91G, “prospective pupils” means those pupils who have been referred to the Academy and accepted a place.

91C) If on or after 30 June 2014 or at any time after signing this Agreement and before the Academy opens, the total number of prospective pupils is fewer than 120, the Secretary of State may by written notice to the Academy Trust:-

- (a) require the Academy Trust not to open the Academy until the number of prospective pupils has reached; or
- (b) terminate this Agreement such termination to take effect on the date specified in the notice.

91D) If at any time after signing this Agreement and after the Academy has opened, the Secretary of State is of the opinion that, by virtue of low pupil numbers, the Academy is not financially viable, then the Secretary of State may:-

- (a) give a Warning Notice to the Academy Trust; or



(b) by written notice terminate this Agreement forthwith; or

(c) by written notice provide such notice as he deems appropriate in the circumstances to terminate this Agreement.

For the purposes of this clause a "Warning Notice" means a notice in writing by the Secretary of State to the Academy Trust requiring that the Academy Trust admits a sufficient number of pupils by such date as he deems appropriate in the circumstances and setting out the consequences if the Academy Trust has not admitted a sufficient number of pupils by the date specified in such Warning Notice.

91E) If at any time after signing this Agreement, the Parties agree that by virtue of low pupil numbers the Academy is not financially viable, then the Parties jointly may terminate this Agreement having agreed first the precise terms of termination.

92) If the Academy Trust has not obtained full planning permission (including where relevant listed building consent), in respect of the site on which it is proposed that the alternative provision Academy will be situated, by 31/08/2014, the Secretary of State may terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on the date of the notice.

93) If at any time after the signing of this Agreement but prior to the alternative provision Academy opening date, the Secretary of State is of the view that:

- I. the alternative provision Academy would, on opening, provide an unacceptably low standard of education; or
- II. the safety of pupils or staff at the alternative provision Academy would, on opening, be threatened; or
- III. the staff employed at the alternative provision Academy are unsuitable; or
- IV. there is a serious breakdown in the way that the Academy Trust is being managed or governed; or
- V. the buildings and other structures on the Land are unsuitable or the

Academy Trust has not obtained Building Regulation approval;

he may either:

- (a) require the Academy Trust (i) not to open the alternative provision Academy; and/or (ii) not to admit pupils of a particular age range, to be determined by the Secretary of State; and/or (iii) not to use any building or other structure on the Land until such time as the relevant matter or matters listed in I. to V. above has or have been resolved to the Secretary of State's satisfaction; or
- (b) terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on the date of the notice. .

94) If the Academy Trust has not entered into the Lease by 31/08/2014, the Secretary of State may terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on the date of the notice.

### **Change of Control of the Academy Trust**

95) (i) The Secretary of State may at any time, subject to sub-clause (iii) below, terminate this Agreement by notice in writing to the Academy Trust such termination to take effect on the date of the notice, in the event that there is a change:

- (a) in the Control of the Academy Trust;
- (b) in the Control of a legal entity that Controls the Academy Trust.

Provided that where a person ('P') is a member or director of the body corporate (as a corporation sole or otherwise) by virtue of an office, no change of Control arises merely by P's successor becoming a member or director in P's place.

(ii) The Academy Trust shall, as soon as it is reasonably practicable to do so after it has become aware of any change or proposed change of Control within the meaning of clause 95)(i), give written notice to the Secretary of State of such change or

proposed change of control.

(iii) At the time of notifying the Secretary of State in accordance with sub-clause (ii) above, the Academy Trust may seek the Secretary of State's agreement that, if the Secretary of State is satisfied that the person assuming the Control is suitable, he will not in those circumstances exercise his right to terminate this Agreement further to clause 95)(i).

### **Effect of Termination**

96) Not used.

97) In the event of termination of this Agreement however occurring, the school shall cease to be an alternative provision Academy within the meaning of Sections 1 and 1C of the Academies Act 2010.

98) Subject to clauses 99 and 100, if the Secretary of State terminates this Agreement pursuant to clause 82 of this Agreement, the Secretary of State shall indemnify the Academy Trust. If the Secretary of State terminates this Agreement otherwise than pursuant to clause 82 of this Agreement, the Secretary of State may in his absolute discretion indemnify or (to such an extent if any as he may in his absolute discretion consider appropriate) compensate the Academy Trust.

99) The amount of any such indemnity or compensation shall be determined by the Secretary of State having regard to any representations made to him by the Academy Trust, and shall be paid at such times and in such manner as the Secretary of State may reasonably think fit.

100) The categories of expenditure incurred by the Academy Trust in consequence of the termination of this Agreement in respect of which the Secretary of State shall (where the Secretary of State terminates this Agreement pursuant to clause 82) indemnify the Academy Trust and may (where the Secretary of State terminates this Agreement otherwise than pursuant to clause 82) in his absolute discretion indemnify or compensate the Academy Trust include (but not by way of limitation), staff compensation and redundancy payments, compensation payments in respect of

broken contracts, expenses of disposing of assets or adapting them for other purposes, legal and other professional fees, and dissolution expenses.

101) Subject to clause 102, on the termination of this Agreement however occurring, the Academy Trust shall in respect of any of its capital assets at the date of termination:

- a) promptly transfer a proportion of the assets to a person nominated by the Secretary of State, if the Secretary of State considers that all or some of those assets need to be used for any educational purpose by that nominee. The proportion of the assets to be transferred shall be the same as the proportion of the capital contribution made by the Secretary of State to the original value of those assets, whether that contribution was made on the establishment of the alternative provision Academy or later; **or**
- b) if the Secretary of State confirms that a transfer under clause 101(a) is not required, promptly repay to the Secretary of State a sum equivalent to the percentage of the value of the assets at the date of termination, or, by agreement with the Secretary of State, at the date of subsequent disposal of those assets. Such percentage to be the same as the percentage of the capital contribution made by the Secretary of State to the original value of those assets, whether that contribution was made on the establishment of the alternative provision Academy or later.

102) The Secretary of State may waive in whole or in part the repayment due under clause 101(b) if:

- a) The Academy Trust obtains his permission to invest the proceeds of sale for its charitable objects; or
- b) The Secretary of State directs all or part of the repayment to be paid to the LA.

103) The sale or disposal by other means of publicly funded land held for the purposes of an Academy is now governed by Part 3 of Schedule 1 to the Academies Act 2010.

## **GENERAL**

### **Information**

104) Without prejudice to any other provision of this Agreement, the Secretary of State acting reasonably may from time to time call for information on, the alternative provision Academy relating to, but not restricted to, the following matters:

- a) curriculum and the provision generally (including specifically for SEN pupils);
- b) arrangements for the assessment of pupils and any information about pupil progress, achievement and attainment;
- c) staff including numbers, qualifications, experience, salaries, and teaching loads;
- d) class sizes and pupil organisation;
- e) outreach work with other schools and the local community;
- f) operation of the referral and reintegration processes for the alternative provision Academy including numbers of requested referrals, the number of referrals that have been refused and the reasons for the refusal in each case and the number and characteristics of pupils accepted for admission and destinations/outcomes of pupils/former pupils;
- g) numbers of pupils excluded (including permanent and fixed term exclusions) characteristics of pupils excluded; reasons for exclusions; outcomes of any independent review panels;
- h) levels of authorised and unauthorised absence;
- i) charging and remissions policies and the operation of those policies;
- j) organisation, operation and building management;
- k) financial controls;
- l) compliance with the requirements of the Charity Commission's guidance to charities and charity trustees and in particular the Charity Commission's guidance in the Protecting Charities from Harm ('the compliance toolkit') and in CC9: Speaking Out, Campaigning and Political Activities by Charities, as amended from time to time;
- m) membership and proceedings of the Governing Body together with any other relevant information concerning the management or governance of the alternative provision Academy which, subject to clause 108), is reasonably necessary for the Secretary of State to carry out his functions generally and in relation to this Agreement.

105) The Academy Trust shall make such information available to the Secretary of State in such form and manner and at such times as may reasonably be required. The Secretary of State shall provide the Academy Trust with such information as it may reasonably require of him for the running of the alternative provision Academy.

105A) (i) The Academy Trust shall provide to the Secretary of State the name of any new or replacement Member or Governor of the Academy Trust, whether such a person has been appointed or elected, together with the date of such an appointment or election and, where applicable, the name of the Member or Governor such a person replaces as soon as is practicable and in any event within 14 days of the appointment or election of such a person.

105A) (ii) In this regard, the Academy Trust shall not appoint any new or replacement Members or Governors of the Academy Trust until it has first (a) notified such persons that their name shall be shared with the Secretary of State and (b) explained to the new or replacement Members or Governors of the Academy Trust that the reason their name is being shared with the Secretary of State is to enable the Secretary of State to assess their suitability.

105B) i) If the Academy Trust is in material breach of the provisions of the Lease or if it is reasonably foreseeable that the Academy Trust will be in material breach of the Lease, the Academy Trust shall forthwith give written notice to the Secretary of State specifying the exact nature of the material breach or reasonably foreseeable material breach and such notice shall set out the steps taken or to be taken by the Academy Trust to remedy the material breach or reasonably foreseeable material breach and, where appropriate, shall include the timescales relating to any remedial action.

105B) ii) The Academy Trust will at its own cost provide all information reasonably required by the Secretary of State in respect of any material breach or reasonably foreseeable material breach.

105C) Following the receipt by the Secretary of State of the written notice under clause 105B), the Academy Trust shall permit the Secretary of State to take all such steps in conjunction with or instead of the Academy Trust as may be necessary to

remedy or prevent the material breach referred to in the said notice. The Academy Trust shall, in such circumstances, use its best endeavours to assist the Secretary of State to remedy or prevent such material breach.

105D)(i) The Academy Trust shall, within 14 days of receiving any order, notice, proposal, demand or any other requirement materially affecting the ability of the Academy Trust to use the Land for the purposes of the alternative provision Academy from any competent authority (including the Landlord), give full particulars by written notice to the Secretary of State and deliver to the Secretary of State copies of such documents as he may require. Such notice shall state what steps, if any actions are required, the Academy Trust intends to take in response to the order, notice, proposal, demand or other requirement affecting the Land.

105D) (ii) The Academy Trust will at its own cost provide all information reasonably required by the Secretary of State in respect of order, notice, proposal, demand or any other requirement affecting the Land as referred to in clause 105D(i).

105E) Following the receipt by the Secretary of State of the written notice under clause 105D)(i), the Academy Trust shall permit the Secretary of State to take all steps in conjunction with or instead of the Academy Trust as may be necessary to comply with any order, notice, proposal, demand or other requirement affecting the Land referred to in the said notice. The Academy Trust shall, in such circumstances, use all reasonable endeavours to assist the Secretary of State to take the appropriate required steps.

### **Access by the Secretary of State's Officers**

106) The Academy Trust shall allow access to the premises of the alternative provision Academy at any reasonable time to DfE officials and/or agents of the Secretary of State. All records, files and reports relating to the running of the alternative provision Academy shall be available to them at any reasonable time. The Academy Trust shall provide the Secretary of State in advance with papers relating to the alternative provision Academy prepared for meetings of the Governing Body and of the Members of the Academy Trust. Two DfE officials shall be entitled

to attend and to speak at all such meetings, but shall withdraw from any discussion of the alternative provision Academy's or the Academy Trust's relationship with the Secretary of State or any discussion of bids for funding to the Secretary of State. The Academy Trust shall take any steps which are required to secure its compliance with the obligations imposed by this clause of this Agreement.

107) The Academy Trust shall ensure that:

- a) the agenda for every meeting of the Governing Body or any committee to whom the Governing Body delegates one or more of its functions to;
- b) the draft minutes of every such meeting, if they have been approved by the person acting as chairman of that meeting;
- c) the signed minutes of every such meeting; and
- d) any report, document or other paper considered at any such meeting,

are made available for inspection by any interested party at the alternative provision Academy and, as soon as is reasonably practicable, sent to the Secretary of State upon request.

108) There may be excluded from any item required to be made available for inspection by any interested party and to be sent to the Secretary of State by virtue of clause 107, any material relating to:

- a) a named teacher or other person employed, or proposed to be employed, at the alternative provision Academy;
- b) a named pupil at, or candidate for admission to, the alternative provision Academy; and
- c) any matter which, by reason of its nature, the Academy Trust is satisfied should remain confidential.

#### **Debt**

108A) Not Used.

#### **Restrictions on Land transfer**

108B) The Academy Trust:

- a) shall, within 28 days from the acquisition of the legal interest in the Land or the signing of this Agreement, whichever is the latter, apply to the Land



Registry for restrictions in the proprietorship register (under section 43(1)(a) of the Land Registration Act 2002 in Form RX1 as prescribed by Rule 91 and Schedule 4 of the Land Registration Rules 2003) ('LRR 2003')) in the following terms:

*No disposition of the registered estate by the proprietor of the registered estate to which sections 117-121 or section 124 of the Charities Act 2011 applies is to be registered unless the instrument contains a certificate complying with section 122(3) or section 125(2) of that Act, as appropriate.*

*No disposition of the registered estate by the proprietor of the registered estate is to be registered without a written consent signed by the Secretary of State for Education of Sanctuary Buildings, Great Smith Street, London SW1P.*

- b) shall take any further steps reasonably required to ensure that the restriction referred to in clause 108B(a) is entered on the proprietorship register,
- c) shall provide the Secretary of State with confirmation of the entry of the restriction referred to in clause 108B(a) as soon as reasonably practicable after it receives notification from the Land Registry,
- d) in the event that it has not registered the restriction referred to in clause 108B(a), hereby consents to the entering of the restriction referred to in 108B(a) in the register by the Secretary of State (under s. 43(1)(b) of the Land Registration Act 2002); and
- e) shall not, without the consent of the Secretary of State, apply to dis-apply, modify or remove (by cancellation or otherwise) a restriction entered in accordance with clause 108B(a) or 108B(d) above, whether by itself, a holding company, a subsidiary company, or a receiver, administrator or liquidator acting in the name of the Academy Trust.

## **Obligations of the Academy Trust**

108C) (i) The Academy Trust shall keep the Land clean and tidy and make good any damage it causes to the Land and / or any deterioration to the condition of the Land that may arise from the date of this Agreement, save that the Academy Trust shall ensure that any actions undertaken in compliance with this clause shall be consistent with the terms of the Lease. In compliance with this clause, the Academy Trust shall not do or cause or permit to be done anything to lessen the value or marketability of the Land save with the express written consent of the Secretary of State.

108C)(ii) The Academy Trust shall observe and comply with its obligations under the Lease and shall promptly enforce its rights against the Landlord.

108C)(iii) The Academy Trust agrees it shall seek and obtain the prior written consent of the Secretary of State, not to be unreasonably withheld or delayed before taking any steps to:

- a) terminate, vary, surrender or dispose of the Lease; and / or
- b) grant any consent or licence in respect of the Land or any part of it; and / or
- c) create or permit to arise or continue any encumbrance affecting the Land or any part of it; and / or
- d) part with or share possession or occupation of the Land or any part of it; and / or
- e) enter into any onerous or restrictive obligations affecting the Land or any part of it.

108C) iv) The Academy Trust agrees that prior to taking any steps, including but not limited to the service of any notice or waiver of any condition, under any contractual arrangement entered into in respect of the acquisition of the legal interest in the Land, it shall seek and obtain the written consent of the Secretary of State, not to be unreasonably withheld or delayed.

## **Insurance**

108D) The Academy Trust shall, save where the terms of the Lease provide for the Landlord to obtain insurance in respect of the Land:-

- a) keep the Land insured as in accordance with the terms of the Lease and in any event with a reputable insurance office against loss or damage by the Insured Risks in the sum the Academy Trust is advised represents the reinstatement value of the Land from time to time;
- b) pay the premiums for insurance promptly as they become due and maintain in force the policies of insurance on the Land;
- c) following the incidence of damage to or destruction of the Land and subject to receipt of all necessary consents licences permissions and the like apply the proceeds of the policy of the insurance received for those purposes in rebuilding and reinstating the Land (provided that this clause should be satisfied if the Academy Trust provides premises not necessarily identical to the Land as the same existing prior to such damage or destruction occurring) as soon as may be reasonably practicable;
- d) produce to the Secretary of State a copy of the insurance policy whenever reasonably requested and the receipt for the last premium or other evidence of renewal and up to date details of the amount of cover (but no more often than once in any period of 12 months in both cases);
- e) not knowingly do anything whereby any policy of insurance relating to the Land may become void or voidable.
- f) insure against liability in respect of property owners' and third party risks including occupiers liability.

### **Transfer of Land**

108E) The Academy Trust hereby grants and the Secretary of State hereby accepts an option, exercisable by the Secretary of State or his nominee, to acquire the said Land or any part thereof at nil consideration. The option hereby granted shall be

exercisable (by notice in writing by or on behalf of the Secretary of State) on the termination of this Funding Agreement for whatever cause or in circumstances where the Academy Trust is unable to use all or part of the Land as the permanent site of the Academy in accordance with clauses 108H or 108K. On the exercise of this option, the Law Society's Standard Conditions of Sale for Commercial Property in force at the date of such exercise shall apply to the transaction and completion shall take place 28 days after such exercise.

108F) The Academy Trust:

- a) shall, within 14 days from the transfer to it of the Land or the signing of this Agreement, whichever is the latter, apply to the Land Registry in Form AN1 as prescribed by Rule 81 of the Land Registration Rules 2003 for a notice to be entered in the register (under section 34(3)(a) of the Land Registration Act 2002) to protect the option granted under clause 108E and including a copy of this Agreement as evidence of that option,
- b) shall take any further steps required to ensure that the notice referred to in clause 108F(a) is entered on the proprietorship register,
- c) shall provide the Secretary of State with confirmation of the entry of the notice referred to in clause 108F(a) as soon as practicable after it receives notification from the Land Registry,
- d) in the event that it has not registered the notice referred to in clause 108F(a), hereby consents to the entering of the notice referred to in 108F(a) in the register by the Secretary of State (by application in Form UN1 under s. 34(3)(b) of the Land Registration Act 2002),
- e) shall not, without the consent of the Secretary of State, apply to dis-apply, modify or remove (by cancellation or otherwise) a notice entered in accordance with clause 108F(a) or 108F(d) above, whether by itself, a holding company, a subsidiary company, or a receiver, administrator or liquidator acting in the name of the Trust, and

f) in the case of previously unregistered land, for the further protection of the option granted in Clause 108E the Academy Trust shall within 14 days of the acquisition of the legal interest in the Land or the signing of this Agreement, whichever is the latter, make application to register a Class C (iv) land charge in the Land Charges Registry and a Caution against First Registration in the Land Registry and shall provide the Secretary of State with copies of the entries secured thereby within 7 days of completing each registration, respectively. If the Secretary of State is of the view that the Academy Trust has failed to perform the registration obligations in this sub-clause he shall be at liberty to make his own applications to secure these registrations.

### **Legal Charge**

108G) Not Used.

### **Failure to use the Land for the purposes of the alternative provision Academy**

108H) If the Academy Trust is unable to use the Land or any part thereof as the permanent site of the alternative provision Academy but the Secretary of State agrees not to terminate this Agreement on that basis, the Secretary of State may give notice to the Academy Trust that:-

- a) he intends to exercise the option granted under clause 108E) to transfer the Land or the relevant part thereof for nil consideration to himself or his nominee;
- b) Not Used.
- c) the Academy Trust shall dispose of the Land or the relevant part thereof and that, pursuant to clause 78, the Academy Trust may retain some or all of the proceeds of sale of the Land or the relevant part thereof in order to fulfil its charitable purposes by funding the purchase of an alternative permanent site for the Academy, save that any proceeds not used to fund the purchase of an alternative permanent site shall be accounted for to the Secretary of State or his nominee.

## **Sharing of the Land**

108I) The Academy Trust agrees that if:

- a) the alternative provision Academy does not fill its planned number of places (as set down in clause 17) over a period of 2Academy Funding Years; or
- b) notice of termination is served by either the Academy Trust or the Secretary of State in accordance with clause 82 of this Agreement; or
- c) in the reasonable opinion of the Secretary of State the operation of the alternative provision Academy at its planned number of places (as set down in clause 17) does not require the use of the full extent of the Land,
  - i. it will share occupation of the Land with such other Academies as the Secretary of State deems appropriate in the circumstances and enter into such legal arrangements in respect of the same as are required by the Secretary of State; and
  - ii. Providing that the Academy Trust may not be required to act in breach of the terms of the Lease.

## **Exercise of Rights**

108J)Not Used.

108K) On the Academy Trust applying to the Secretary of State for consent to the disposal of all or part of the Land during the lifetime of this Agreement, the Secretary of State shall, should he agree that the Land is no longer required or cannot be used for the purposes of the Academy, subject to clause 76,

- a) consent to the disposal subject to any one or a combination of the following conditions:-
  - i. not used;
  - ii. that pursuant to clause 78, the Academy Trust may retain some or all proceeds of the disposal for its charitable purposes, subject to the Academy

Trust accounting to the Secretary of State for any remaining proceeds of sale that the Secretary of State does not agree that the Academy Trust may retain for such charitable purposes; or

- iii. that pursuant to clause 79, the Academy Trust pays all or some of the proceeds of sale to the LA and / or may reinvest all or some of the proceeds of sale for its charitable purposes,

and any such notice of consent and conditions shall be in writing; or

- a) exercise the option granted to him pursuant to clause 108E to transfer the relevant part of the Land to him or his nominee for nil consideration.

108L-108O)Not Used..

### **Notices**

109) A notice or communication given to a party under or in connection with this Agreement:

- (a) shall be in writing and in English;
- (b) shall be sent to the party for the attention of the contact and at the address listed in clause 109A;
- (c) shall be sent by a method listed in clause 109C; and
- (d) is deemed received as set out in clause 109C if prepared and sent in accordance with this clause.

109A) The parties' addresses and contacts are:

Name of Party	Position of Contact	Address
Secretary of State	Head of Free Schools Division	Department for Education, Sanctuary Buildings, Great Smith Street, London SW1P 3BT
The Academy Trust	The Right Reverend Richard Frith	York Diocesan Board of Finance Ltd, Diocesan House, Aviator Court, Clifton Moor, York, YO30 4WJ

109B) A party may change its details given in the table in clause 109A) by giving notice, the change taking effect for the party notified of the change at 9.00 am on the date five Business Days after deemed receipt of the notice.

109C) Any notice or other communication required to be given to a party under or in connection with this Agreement shall be delivered by hand or sent by pre-paid first-class post or other next working day delivery service. Any notice or communication shall be deemed to have been received if delivered by hand, on signature of a delivery receipt or at the time the notice is left at the address specified in Clause 109A, or otherwise at 9.00 am on the second Business Day after posting.

109D) This clause does not apply to the service of any proceedings or other documents in any legal action. For the purposes of clause 109, "writing" shall not include e-mail.

110) The service by the Secretary of State of a notice of termination of this Agreement shall not prejudice the ability of the Academy Trust (if it wishes to do so) during the notice period to admit pupils to the alternative provision Academy in accordance with the provisions of this Agreement and to receive GAG and EAG in respect of them.

### **General**

111) This Agreement shall not be assignable by the Academy Trust.

111A) No delay, neglect or forbearance on the part of the Secretary of State in enforcing (in whole or in part) any provision of this Agreement or in exercising (in whole or in part) any right conferred on him by this Agreement shall be or be deemed to be a waiver of such provision or right or a waiver of any other provision or right or shall in any way prejudice any right of the Secretary of State under this Agreement or shall amount to an election not to enforce such provision or exercise such right (including, for the avoidance of doubt, any right to terminate this Agreement).

112) The Secretary of State and the Academy Trust recognise the difficulties in catering in this Agreement for all the circumstances which may arise in relation to the alternative provision Academy and undertake in good faith to conduct such consultations as may from time to time be desirable in order to promote the interests of the alternative provision Academy throughout the currency of this Agreement.



113) Termination of this agreement, for any reason, shall not affect the accrued rights, remedies, obligations or liabilities of the parties existing at termination.

113A) This Agreement may be executed in any number of counterparts, each of which when executed and delivered shall constitute a duplicate original, but all the counterparts shall together constitute the one agreement.

114) This agreement and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims) shall be governed by and construed in accordance with the law of England and Wales.

115) The parties irrevocably agree that the courts of England and Wales shall have exclusive jurisdiction to settle any dispute or claim that arises out of or in connection with this agreement or its subject matter or formation (including non-contractual disputes or claims).

**EXECUTED AND DELIVERED AS A DEED by the Parties on the 9th day of April 2014**

The Corporate Seal of the Secretary of State for Education hereunto affixed is authenticated by:



.....  
Duly Authorised by the Secretary of State for Education

Archbishop Sentamu  
Academy

.....  
*Andrew Chubb*.....

acting by two directors or a  
director and a secretary

Director *ANDREW CHUBB*  
Print name

.....  
*Mrs Mandy Watson*.....

Director/Secretary

Print name.....

*MRS MANDY WATSON*



**ANNEX A**

THE COMPANIES ACT 2006

A COMPANY LIMITED BY GUARANTEE  
AND NOT HAVING A SHARE CAPITAL

ARTICLES OF ASSOCIATION  
OF  
ARCHBISHOP SENTAMU ACADEMY

## THE COMPANIES ACT 2006

### A COMPANY LIMITED BY GUARANTEE AND NOT HAVING A SHARE CAPITAL

#### ARTICLES OF ASSOCIATION OF ARCHBISHOP SENTAMU ACADEMY

##### INTERPRETATION

1. In these Articles:-

- “the Act” means the Companies Act 2006 including any statutory modification or re-enactment thereof for the time being in force;
- “the Academies” means Archbishop Sentamu Academy and ASPIRE Academy, as referred to in article 3(h) established by the Trust;
- “the Trust” means the company intended to be regulated by these articles;
- “the articles” means these articles of association of the Trust;
- “clear days” in relation to the period of a notice means the period excluding the day when the notice is given or deemed to be given and the day of which it is given or on which it is to take effect;
- “clerk” means the secretary of the Trust or any other person appointed to perform the duties of the secretary of the Trust, including a joint, assistant or deputy secretary; the secretary shall be known as the ‘clerk’ under article 66;
- “executed” includes any mode of execution;
- “the memorandum” means the memorandum of association of the Trust;
- “the governors” means the directors of the Trust (and “governor” has a corresponding meaning);

- "appointed governor" means a sponsor, LA, co-opted or additional governor appointed under these articles;
- "elected governor" means a parent, teacher or staff governor elected under these articles;
- "the Governing Body" means the governors;
- "the LA" means the City of Kingston upon Hull Local Education Authority;
- "local authority within the meaning associated persons" means any person associated with any local authority given in section 69 of the Local Government and Housing Act 1989;
- "member" means a member of the Trust and someone who as such is bound by the undertaking contained in clause 7 of the memorandum;
- "Principals" means the Principals of each of the Academies;
- "Principal Sponsor" means the Diocese of York, a subscriber to the memorandum and articles;
- "the seal" means the common seal of the Trust if it has one;
- "Secretary of State" means the Secretary of State for Children, Schools and Families;
- "teacher" means a teacher employed under a contract of employment or a contract for services or otherwise engaged to provide his services as a teacher;
- "the United Kingdom" means Great Britain and Northern Ireland.

Words importing the masculine gender only shall include the feminine gender. Words importing the singular number only shall include the plural number, and vice versa.

Subject as aforesaid, words or expressions contained in these articles shall, unless the context requires otherwise, bear the same meaning as in the Act.

**OBJECTS**

2. The Trust's objects (the "**Objects**") are to advance for the public benefit education in the United Kingdom, within the context of Christian belief and practice, in particular but without prejudice to the generality of the foregoing by establishing, maintaining, carrying on, managing and developing Church of England Schools to be conducted in accordance with principles of the Church of England offered a broad curriculum with strong emphasis on, but in no way limited to Business and Enterprise and Health Sciences.
3. In furtherance of the Objects but not further or otherwise the Trust may exercise the following powers:
  - (a) to draw, make, accept, endorse, discount, execute and issue promissory notes, bills, cheques and other instruments, and to operate bank accounts in the name of the Trust;
  - (b) to raise funds and to invite and receive contributions providing that in raising funds the Trust shall not undertake any substantial permanent trading activities and shall conform to any relevant statutory regulations;
  - (c) to acquire, alter, improve and (subject to such consents as may be required by law) to charge or otherwise dispose of property;
  - (d) subject to clause 4(g) below to employ such staff, as are necessary for the proper pursuit of the Objects and to make all reasonable and necessary provision for the payments of pensions and superannuation to staff and their dependants provided that such staff shall not be governors, save for the Principals of the Academies and staff or teacher governors elected in accordance with the Trust's Articles of Association;
  - (e) to establish or support, whether financially or otherwise, any charitable trusts, associations or institutions formed for all or any of the Objects;
  - (f) to co-operate with other charities, other independent and maintained schools, voluntary bodies and statutory authorities operating in furtherance of the Objects and to exchange

information and advice with them;

- (g) to pay out of funds of the Trust the costs, charges and expenses of and incidental to the formation and registration of the Trust;
- (h) to establish, maintain, carry on, manage and develop the Academies at Bilton Grove, Hull HU9 5YB (in respect of Archbishop Sentamu Academy) and Land at the former Isaac Newton Secondary School Site, Hemswell Avenue, Hull, HU9 5LB (in respect of ASPIRE Academy);
- (i) to offer scholarships, exhibitions, prizes and awards to pupils and former pupils, and otherwise to encourage and assist pupils and former pupils;
- (j) to provide educational facilities and services to students of all ages and the wider community for the public benefit;
- (k) to carry out research into the development and application of new techniques in education in particular in relation to the Academies' areas of curricular specialisation and to their approach to curriculum development and delivery and to publish the results of such research, and to develop means of benefiting from application of the experience of industry, commerce, other schools and the voluntary sector to the education of pupils in academies.
- (l) subject to such consents as may be required by law to borrow and raise money for the furtherance of the Objects in such manner and on such security as the Trust may think fit;
- (m) to invest the moneys of the Trust not immediately required for the furtherance of its Objects in or upon such investments, securities or property as may be thought fit, to hold the same as investments and to sell, exchange, carry and dispose of the same, subject nevertheless to such conditions (if any) and such consents (if any) as may for the time being be imposed or required by law;

- (n) to provide indemnity insurance to cover the liability of governors which by virtue of any rule of law would otherwise attach to them in respect of any negligence, default, breach of trust or breach of duty of which they may be guilty in relation to the Trust provided that any such insurance shall not extend to any claim arising from any act or omission which the governors knew to be a breach of trust or breach of duty or which was committed by the governors in reckless disregard of whether it was a breach of trust or breach of duty or not and provided also that any such insurance shall not extend to the costs of any unsuccessful defence to a criminal prosecution brought against the governors in their capacity as governors;
  - (o) to establish subsidiary companies to carry on any trade or business for the purpose of raising funds for the Academies;
  - (p) to do all such other lawful things as are necessary for or are incidental to or conducive to the achievement of the Objects.
4. (1) The income and property of the Trust shall be applied solely towards the promotion of the Objects, and none of the income or property of the Trust may be paid or transferred directly or indirectly by way of dividend bonus or otherwise by way of profit to any member of the Trust. This does not prevent a member who is not also a Governor receiving reasonable and proper remuneration for any goods or services supplied to the Trust.
- (2) (a) A governor may at the discretion of the Governing Body be reimbursed from the property of the Trust for reasonable expenses properly incurred by him or her when acting on behalf of the Trust, but excluding expenses in connection with foreign travel.
  - (b) A Governor may benefit from any indemnity insurance purchased at the Trust's expense to cover the liability of the Governors which by virtue of any rule of law would otherwise attach to them in respect of any negligence,



default or breach of trust or breach of duty of which they may be guilty in relation to the Trust provided that any such insurance shall not extend to any claim arising from any act or omission which governors knew to be a breach of trust or breach of duty or which was committed by the governors in reckless disregard to whether it was a breach of trust or breach of duty or not and provided also that any such insurance shall not extend to the costs of any unsuccessful defence to a criminal prosecution brought against governors in their capacity as directors of the Trust.

- (3) No Governor may:
- (a) buy any goods or services from the Trust;
  - (b) sell goods, services, or any interest in land to the Trust;
  - (c) be employed by, or receive any remuneration from the Trust;
  - (d) receive any other financial benefit from the Trust;

Unless

- (i) the payment is permitted by sub-clause (4) of this clause and the Governors follow the procedure and observe the conditions set out in sub-clause (5) of this clause; or
  - (ii) the Governors obtain the prior written approval of the Commission and fully comply with any procedures it prescribes.
- (4) (a) A Governor may receive a benefit from the Trust in the capacity of a beneficiary of the Trust;
- (b) A Governor may be employed by the Trust to enter into a contract for the supply of goods or services to the Trust, other than acting as a Governor;

- (c) A Governor may receive interest on money lent to the Trust at a reasonable and proper rate not exceeding 2% per annum below the base rate of a clearing bank to be selected by the Governors;
  - (d) A company of which a Governor is a member may receive fees remuneration or other benefit in money or money's worth provided that the shares of the company are listed on a recognised stock exchange and the Governor holds no more than 1% of the issued capital of that company;
  - (e) A Governor may receive rent for premises let by the Governor to the Trust if the amount of the rent and the other terms of the lease are reasonable and proper.
- (5) (a) The Trust and its Governors may only rely upon the authority provided by sub-clause 4(4) if each of the following conditions is satisfied
- (i) the remuneration or other sums paid to the Governor do not exceed an amount that is reasonable in all the circumstances;
  - (ii) the Governor is absent from the part of any meeting at which there is discussion of:
    - his or her employment or remuneration, or any matter concerning the contract; or
    - his or her performance in the employment, or his or her performance of the contract; or
    - any proposal to enter into any other contract or arrangement with him or her or to confer any benefit upon him or her that would be permitted under sub-clause 4(4); or
    - any other matter relating to a payment or the conferring of any benefit permitted by

sub-clause 4(4).

- (iii) The Governor does not vote on any such matter and is not to be counted when calculating whether a quorum of Governors is present at the meeting;
  - (iv) The other Governors are satisfied that it is in the interests of the Trust to employ or to contract with that Governor rather than with someone who is not a Governor. In reaching that decision the Governors must balance the advantage of employing a Governor against that disadvantages of doing so (especially the loss of the Governor's services as a result of dealing with the Governor's conflict of interest);
  - (v) The reason for their decision is recorded by the Governors in the minute book;
  - (vi) A majority of the Governors then in office have received no such payments.
- (b) The employment or remuneration of a Governor includes the engagement or remuneration of any firm or company in which the Governor is:
- (i) a partner;
  - (ii) an employee;
  - (iii) a consultant;
  - (iv) a governor; or
  - (v) a shareholder, unless the shares of the Company are listed on a recognised stock exchange and the Governor holds less than 1% of the issued capital
- (6) In sub-clauses (2)-(5) of this clause 4:
- (a) "company" shall include any company in which the Trust
    - holds more than 50% of the shares; or

- controls more than 50% of the voting rights attached to the shares; or

- has the right to appoint one or more governors to the Board of the Company

(b) "Governor" shall include any child, stepchild, parent, grandchild, grandparent, brother, sister or spouse of the Governor or any person living with the Governor as his or her partner.

## MEMBERS

5. The members of the Trust shall comprise:

(a) The person who holds the position of the Bishop of Hull from time to time;

(b) The person who holds the position of the Diocesan Director of Education from time to time;

(c) 1 person appointed by the Secretary of State;

(d) the chair of the Governing Body

(e) any person appointed under article 8;

6. Each of the persons entitled to appoint members in article 5 shall have the right from time to time by written notice delivered to the Trust's registered office to remove any member appointed by them and to appoint a replacement member to fill a vacancy whether resulting from such removal or otherwise.

7. If any of the persons entitled to appoint members in Article 5:

a) in the case of an individual, die or become legally incapacitated;

b) in the case of a corporate entity, cease to exist and are not replaced by a successor institution; or

c) becomes insolvent or makes any arrangement or composition with their creditors generally

their right to appoint members under these Articles shall vest in the remaining

members.

7A. Membership will terminate automatically if:

- a) a member (which is a corporate entity) ceases to exist and is not replaced by a successor institution;
- b) a member (which is an individual) dies or becomes incapable by reason of mental disorder, illness or injury of managing and administering his or her own affairs; or

a member becomes insolvent or makes any arrangement or composition with that Member's creditors generally.

8. The members may agree unanimously in writing to appoint such additional members as they think fit and may unanimously in writing agree to remove any such additional members.

9. Every person nominated to be a member of the Trust shall either sign a written consent to become a member or sign the register of members on becoming a member.

10. The other members may in their absolute discretion permit any member to resign provided that after such resignation the number of members is not less than 2. A member shall cease to be one immediately on the receipt by the Trust of a notice in writing signed by the person or persons entitled to remove him under articles 6 or 8 provided that no such notice shall take effect when the number of members is less than three unless it contains or is accompanied by the appointment of a replacement member.

#### GENERAL MEETINGS

11. The Trust shall hold an Annual General Meeting each year in addition to any other meetings in that year, and shall specify the meeting as such in the notices calling it; and not more than fifteen months shall elapse between the date of one Annual General Meeting of the Trust and that of the next. Provided that so long as the Trust holds its first Annual General Meeting within eighteen months of its incorporation, it need not hold it in the year of its incorporation or in the following year. The Annual General Meeting shall be held at such time and place as the governors shall appoint. All general

meetings other than Annual General Meetings shall be called Extraordinary General Meetings.

12. The governors may call general meetings and, on the requisition of members pursuant to the provisions of the Act, shall forthwith proceed to convene an Extraordinary General Meeting for a date not later than eight weeks after the receipt of the requisition. If there are not within the United Kingdom sufficient governors to call a general meeting, any governor or any member of the Trust may call a general meeting.

#### NOTICE OF GENERAL MEETINGS

13. An Annual General Meeting and an Extraordinary General Meeting called for the passing of a special resolution appointing a person as a governor shall be called by at least twenty-one clear days' notice. All other Extraordinary General Meetings shall be called by at least fourteen clear days' notice but a general meeting may be called by shorter notice if it is so agreed

- (a) in the case of an Annual General Meeting, by all the members entitled to attend and vote; and
- (b) in the case of any other meeting by a majority in number of members having a right to attend and vote, being a majority together holding not less than 95 per cent of the total voting rights at the meetings of all the members.

The notice shall specify the time and place of the meeting and the general nature of the business to be transacted and, in the case of an Annual General Meeting, shall specify the meeting as such.

The notice shall be given to all the members, to the governors and auditors.

14. The accidental omission to give notice of a meeting to, or the non-receipt of notice of a meeting by, any person entitled to receive notice shall not invalidate the proceedings at that meeting.

#### PROCEEDINGS AT GENERAL MEETINGS.

15. No business shall be transacted at any meeting unless a quorum is present. A member counts towards the quorum by being present either in person or by proxy. Two persons entitled to vote upon the business to be

transacted, each being a member or a duly authorised representative of a member organisation, or one tenth of the total number of such persons for the time being, whichever is the greater, shall constitute a quorum.

16. If a quorum is not present within half an hour from the time appointed for the meeting, or if during a meeting a quorum ceases to be present, the meeting shall stand adjourned to the same day in the next week at the same time and place or to such time and place as the governors may determine.

17. The chairman, if any, of the governors or in his absence some other governor nominated by the governors shall preside as chairman of the meeting, but if neither the chairman nor such other governor (if any) be present within fifteen minutes after the time appointed for the holding the meeting and willing to act the governors present shall elect one of their number to be chairman and, if there is only one governor present and willing to act, he shall be the chairman.

18. If no governor is willing to act as chairman, or if no governor is present within fifteen minutes after the time appointed for holding the meeting, the members present and entitled to vote shall choose one of their number to be chairman.

19. A governor shall, notwithstanding that he is not a member, be entitled to attend and speak at any general meeting.

20. The chairman may, with the consent of a meeting at which a quorum is present (and shall if so directed by the meeting), adjourn the meeting from time to time and from place to place, but no business shall be transacted at any adjourned meeting other than the business which might properly have been transacted at the meeting had the adjournment not taken place. When a meeting is adjourned for fourteen days or more, at least seven clear days' notice shall be given specifying the time and place of the adjourned meeting and the general nature of the business to be transacted. Otherwise it shall not be necessary to give any such notice.

21. A resolution put to the vote of the meeting shall be decided on a show of hands unless before, or on the declaration of the result of the show of hands a poll is duly demanded. Subject to the provisions of the Act, a poll

may be demanded:-

- (a) by the chairman; or
- (b) by at least two members having the right to vote at the meeting ;  
or
- (c) by a member or members representing not less than one-tenth of the total voting rights of all the members having the right to vote at the meeting.

22. Unless a poll is duly demanded a declaration by the chairman that a resolution has been carried or carried unanimously, or by a particular majority, or lost, or not carried by a particular majority and an entry to that effect in the minutes of the meeting shall be conclusive evidence of the fact without proof of the number or proportion of the votes recorded in favour of or against such resolution.

23. The demand for a poll may be withdrawn, before the poll is taken, but only with the consent of the chairman. The withdrawal of a demand for a poll shall not invalidate the result of a show of hands declared before the demand for the poll was made.

24. A poll shall be taken as the chairman directs and he may appoint scrutineers (who need not be members) and fix a time and place for declaring the results. The result of the poll shall be deemed to be the resolution of the meeting at which the poll was demanded.

25. Not used.

26. A poll demanded on the election of the chairman or on a question of adjournment shall be taken immediately. A poll demanded on any other question shall be taken either immediately or at such time and place as the chairman directs not being more than thirty days after the poll is demanded. The demand for a poll shall not prevent continuance of a meeting for the transaction of any business other than the question on which the poll is demanded. If a poll is demanded before the declaration of the result of a show of hands and the demand is duly withdrawn, the meeting shall continue as if the demand had not been made.



27. No notice need be given of a poll not taken immediately if the time and place at which it is to be taken are announced at the meeting at which it is demanded. In other cases at least seven clear days' notice shall be given specifying the time and place at which the poll is to be taken.

28. A resolution in writing executed by or on behalf of each member who would have been entitled to vote upon it if it had been proposed at a general meeting at which he was present shall be as effectual as if it had been passed at a general meeting duly convened and held and may consist of several instruments in the like form each executed by or on behalf of one or more members.

#### VOTES OF MEMBERS

29. On the show of hands every member present in person shall have one vote. On a poll every member present in person or by proxy shall have one vote.

30. Not used.

31. No member shall be entitled to vote at any general meeting unless all moneys then payable by him to the Trust have been paid.

32. No objections shall be raised to the qualification of any voter except at the meeting or adjourned meeting at which the vote objected to is tendered, and every vote not disallowed at the meeting shall be valid. Any objection made in due time shall be referred to the chairman whose decision shall be final and conclusive.

33. An instrument appointing a proxy shall be in writing, executed by or on behalf of the appointer and shall be in the following form (or in a form as near thereto as circumstances allow or in any other form which is usual or which the governors may approve) -.

"I/We, ....., of ....., being a member/members of the above named trust, hereby appoint ..... of ....., or failing him, ..... of ..... as my/our proxy to vote in my/our name[s] and on my/our behalf at the annual/extraordinary general meeting of the Trust to be held on .....20[ ], and at any adjournment thereof.

Signed on ..... 20[ ]”

34. Where it is desired to afford members an opportunity of instructing the proxy how he shall act the instrument appointing a proxy shall be in the following form (or in a form as near thereto as circumstances allow or in any other form which is usual or which the governors may approve)-

“I/We, ....., of ....., being a member/members of the above-named trust, hereby appoint .... of ....., or failing him ..... of ....., as my/our proxy to vote in my/our name[s] and on my/our behalf at the annual/extraordinary general meeting of the Trust, to be held on .... 20[ ], and at any adjournment thereof.

This form is to be used in respect of the resolutions mentioned below as follows:

Resolution No. 1 \*for \* against

Resolution No. 2 \*for \* against.

\* Strike out whichever is not desired.

Unless otherwise instructed, the proxy may vote as he thinks fit or abstain from voting.

Signed on .... 20[ ]”

35. The instrument appointing a proxy and any authority under which it is executed or a copy of such authority certified by a notary or in some other way approved by the governors may -

- (a) be deposited at the office or at such other place within the United Kingdom as is specified in the notice convening the meeting or in any instrument of proxy sent out by the Trust in relation to the meeting not less than 48 hours before the time for holding the meeting or adjourned meeting at which the person named in the instrument proposes to vote, or
- (b) in the case of a poll taken more than 48 hours after it is demanded, be deposited as aforesaid after the poll has been demanded and not less than 24 hours before the time appointed for the taking of the poll;

(c) where the poll is not taken forthwith but is taken not more than 48 hours after it was demanded, be delivered at the meeting at which the poll was demanded to the chairman or to the clerk or to any governor; and an instrument of proxy which is not deposited or delivered in a manner so permitted shall be invalid.

36. A vote given or poll demanded by proxy or by the duly authorised representative of a corporation shall be valid notwithstanding the previous determination of the authority of the person voting or demanding a poll unless notice of the determination was received by the Trust at the office or at such other place at which the instrument of proxy was duly deposited before the commencement of the meeting or adjourned meeting at which the vote given or the poll demanded or (or in the case of a poll taken otherwise than on the same day as the meeting or adjourned meeting) the time appointed for taking the poll.

37. Any organisation which is a member of the Trust may by resolution of its board of governors or other governing body authorise such person as it thinks fit to act as its representative at any meeting of the Trust, and the person so authorised shall be entitled to exercise the same powers on behalf of the corporation which he represents as that corporation could exercise if it were an individual member of the Trust.

## GOVERNORS

38. The number of governors shall be not less than three but (unless otherwise determined by ordinary resolution) shall not be subject to any maximum.

39. Subject to article 41 the Trust shall have the following governors:

- (a) 6 sponsor governors of whom one shall have experience and expertise in Business and Enterprise, another in Health Sciences and two shall be drawn from the Church of England;
- (b) not used;
- (c) 2 parent governors;
- (d) the Principal of Archbishop Sentamu Academy; and

(e) 1 staff governor.

The Trust may also have the following governors:

(f) any co-opted governor appointed under article 49;

(g) any additional governor appointed under article 52;

40. The first governors shall be those persons named in the statement delivered pursuant to section 10(2) of the Companies Act 1985, who shall be deemed to have been appointed under article 42 and shall be deemed to be sponsor governors. Future sponsor governors shall be appointed under article 42.

41. Future governors required by article 39 shall be appointed or elected, as the case may be, under these articles. Where it is not possible for such a governor to be appointed or elected due to the fact that either of the Academies is not yet established then the relevant article or part thereof shall not apply.

#### APPOINTMENT AND ELECTION OF GOVERNORS

42. The Principal Sponsor shall appoint the sponsor governors and may appoint himself as a sponsor governor.

43. Not used

44. The Principal of Archbishop Sentamu Academy shall be a member of the governing body who shall be treated for all purposes as being an ex officio governor.

45. The elected parent governor(s) shall be elected by parents of registered pupils at either of the Academies. A parent governor must be such a parent at the time when he is elected. The number of parent governors required shall be made up by parent governors appointed by the Governing Body if the number of parents standing for election is less than the number of vacancies.

46. The Governing body shall make all necessary arrangements for, and determine all other matters relating to, an election of parent governors, including any question of whether a person is a parent of a registered pupil at

either of the Academies. Any election of parent governors which is contested shall be held by secret ballot.

47. The arrangements made for the election of a parent governor shall provide for every person who is entitled to vote in the election to have an opportunity to do so by post or, if he prefers, by having his ballot paper returned to the Trust by a registered pupil at either of the Academies.

48. Where a vacancy for a parent governor is required to be filled by election, the Governing Body shall take such steps as are reasonably practical to secure that every person who is known to them to be a parent of a registered pupil at either of the Academies is informed of the vacancy and that it is required to be filled by election, informed that he is entitled to stand as a candidate, and vote at the election, and given an opportunity to do so.

48A. In appointing a parent governor the Governing Body shall appoint a person who is the parent of a registered pupil at either of the Academies; or where it is not reasonably practical to do so, a person who is the parent of a child of compulsory school age.

#### CO-OPTED GOVERNORS

49. The Governing Body may appoint up to 2 co-opted governors. A 'co-opted governor' means a person who is appointed to be a governor by being co-opted by governors who have not themselves been so appointed.

#### APPOINTMENT OF ADDITIONAL GOVERNORS

50. The Secretary of State may give a warning notice to the Governing Body where—

(a) he is satisfied—

that the standards of performance of pupils at either of the Academies are unacceptably low and are likely to remain so unless the Secretary of State exercises his powers under article 52, or

that there has been a serious breakdown in the way either of the Academies is managed or governed which is prejudicing, or likely to prejudice, such standards of performance, or

that the safety of pupils or staff of either of the Academies is threatened (whether by a breakdown of discipline or otherwise); and

- (b) the Secretary of State has previously informed the Governing Body of the matters on which that conclusion is based; and
- (c) those matters have not been remedied to the Secretary of State's satisfaction within a reasonable period.

51. For the purposes of article 50 a 'warning notice' is a notice in writing by the Secretary of State setting out—

- (a) the matters referred to in Article 50(a);
- (b) the action which he requires the Governing Body to take in order to remedy those matters; and
- (c) the period within which that action is to be taken by the Governing Body ('the compliance period').

52. The Secretary of State may appoint additional governors as he thinks fit if the Secretary of State has:

- (a) given the Governing Body a warning notice in accordance with article 50; and
- (b) the Governing Body has failed to comply, or secure compliance, with the notice to the Secretary of State's satisfaction within the compliance period; and
- (c) the Secretary of State has given reasonable notice in writing to the Governing Body that he proposes to exercise his powers under this article.

#### TERM OF OFFICE

53. The term of office for any governor shall be 4 years, save that this time limit shall not apply to either the Principal of Archbishop Sentamu Academy or the Principal Sponsor (during any period that the Principal Sponsor is a governor). Subject to remaining eligible to be a particular type of governor any governor may be re-appointed or re-elected.

#### RESIGNATION AND REMOVAL

54. A governor shall cease to hold office if he resigns his office by notice to the Trust (but only if at least three governors will remain in office when the notice of resignation is to take effect).

55. A governor shall cease to hold office if he is removed by the person or persons who appointed him. This article does not apply in respect of any elected governor; or a parent governor who has been appointed rather than elected.

56. Where a governor resigns his office or is removed from office, the governor or, where he is removed from office, those removing him, shall give written notice thereof to the clerk.

#### DISQUALIFICATION OF GOVERNORS

57. No person shall be qualified to be a governor unless he is aged 18 or over at the date of his election or appointment. No pupil of either of the Academies shall be a governor.

58. A governor shall cease to hold office if he becomes incapable by reason of mental disorder, illness or injury of managing or administering his own affairs.

59. A governor shall cease to hold office if he is absent without the permission of the governing body from all their meetings held within a period of six months and the governors resolve that his office be vacated.

60. A person shall be disqualified from holding or continuing to hold office as a governor if—

(a) his estate has been sequestrated and the sequestration has not been discharged, annulled or reduced; or

(b) he is the subject of a bankruptcy restrictions order or an interim order.

61. A person shall be disqualified from holding or continuing to hold office as a governor at any time when he is subject to a disqualification order or a disqualification undertaking under the Company Directors Disqualification Act 1986 or to an order made under section 429(2)(b) of the Insolvency Act 1986 (failure to pay under county court administration order).

62. A governor shall cease to hold office if he ceases to be a governor by virtue of any provision in the Act or is disqualified from acting as a trustee by virtue of section 72 of the Charities Act 1993 (or any statutory re-enactment or modification of that provision).

63. A person shall be disqualified from holding or continuing to hold office as a governor if he has been removed from the office of charity trustee or trustee for a charity by an order made by the Charity Commissioners or the High Court on the grounds of any misconduct or mismanagement in the administration of the charity for which he was responsible or to which he was privy, or which he by his conduct contributed to or facilitated.

64. A person is disqualified from holding or from continuing to hold office as a governor at any time when he is disqualified from working with children under sections 28 and 29 of the Criminal Justice and Court Services Act 2000.

65. A person shall be disqualified from holding or continuing to hold office as a governor if he is a person in respect of whom a direction has been made under section 142 of the Education Act 2002.

66. A person shall be disqualified from holding or continuing to hold office as a governor where he has, at any time, been convicted of any criminal offence, excluding any that have been spent under the Rehabilitation of Offenders Act 1974 as amended, and excluding any offence for which the maximum sentence is a fine or a lesser sentence except where a person has been convicted of any offence which falls under section 72 of the Charities Act 1993.

66A. A person shall be disqualified from holding or continuing to hold office as a governor at any time when he refuses a request by the Clerk to the Governing Body, following a referral from either the Chair of Governors or either of the Principals, to make an application under section 113 of the Police Act 1997, as amended for a criminal records certificate. That application will be at an enhanced disclosure level. A referral by the Chair of Governors or either of the Principals shall be made where the person is in their opinion giving cause for concern or where his duties involve regularly caring for,



training, supervising, or being in sole charge of persons under 18. In the event that the certificate discloses any information which would in the opinion of either the Chair of Governors or either of the Principals confirm their unsuitability to work with children that person shall be disqualified. If a dispute arises as to whether a person shall be disqualified, a referral shall be made to the Secretary of State to determine the matter. The determination of the Secretary of State shall be final.

67. Where, by virtue of these articles a person becomes disqualified from holding, or continuing to hold office as a governor; and he is, or is proposed, to become such a governor, he shall upon becoming so disqualified give written notice of that fact to the clerk.

68. Articles 57 to 67 also apply to any member of any committee of the governors who is not a governor.

#### CLERK TO THE GOVERNING BODY

69. Subject to the provisions of the Act, the secretary shall be appointed by the governors for such term, at such remuneration and upon such conditions as they may think fit; and any secretary so appointed may be appointed by them. The secretary shall be known as “the clerk”. The clerk shall not be a governor or the Principal. Notwithstanding this article, the Governing Body may, where the clerk fails to attend a meeting of theirs, appoint any one of their number to act as clerk for the purposes of that meeting.

#### CHAIRMAN AND VICE-CHAIRMAN OF THE GOVERNING BODY

70. The governors shall each school year, at their first meeting in that year, elect a chairman and a vice-chairman from among their number. A governor who is employed to work at either of the Academies shall not be eligible for election as chairman or vice-chairman.

71. Subject to article 69, the chairman or vice-chairman shall hold office as such until his successor has been elected in accordance with that article.

72. The chairman or vice-chairman may at any time resign his office by giving notice in writing to the clerk. The chairman or vice-chairman shall cease to hold office if—

- (a) he ceases to be a governor;
- (b) he is employed to work at either of the Academies;
- (c) he is removed from office in accordance with these articles; or
- (d) in the case of the vice-chairman, he is elected in accordance with these articles to fill a vacancy in the office of chairman.

73. Where by reason of any of the matters referred to in article 71, a vacancy arises in the office of chairman or vice-chairman, the governors shall at their next meeting elect one of their number to fill that vacancy.

74. Where the chairman is absent from any meeting or there is at the time a vacancy in the office of the chairman, the vice-chairman shall act as the chairman for the purposes of the meeting.

75. Where in the circumstances referred to in article 72 the vice-chairman is also absent from the meeting or there is at the time a vacancy in the office of vice-chairman, the governors shall elect one of their number to act as a chairman for the purposes of that meeting, provided that the governor elected shall not be a person who is employed to work at either of the Academies.

76. The clerk shall act as chairman during that part of any meeting at which the chairman is elected.

77. Any election of the chairman or vice-chairman which is contested shall be held by secret ballot.

78. The governors may remove the chairman or vice-chairman from office in accordance with this article:

- (a) a resolution to remove the chairman or vice-chairman from office which is passed at a meeting of the Governing Body shall not have effect unless—

it is confirmed by a resolution passed at a second meeting of the Governing Body held not less than fourteen days after the first meeting; and

the matter of the chairman's or vice-chairman's removal from office is specified as an item of business on the agenda for each

of those meetings.

- (b) Before the Governing Body resolve at the relevant meeting on whether to confirm the resolution to remove the chairman or vice-chairman from office, the governor or governors proposing his removal shall at that meeting state their reasons for doing so and the chairman or vice-chairman shall be given an opportunity to make a statement in response.

#### POWERS OF GOVERNORS

79. Subject to provisions of the Act, the memorandum and the articles and to any directions given by special resolution, the business of the Trust shall be managed by the governors who may exercise all the powers of the Trust. No alteration of the memorandum or the articles and no such direction shall invalidate any prior act of the governors which would have been valid if that alteration had not been made or that direction had not been given. The powers given by this article shall not be limited by any special power given to the governors by the articles and a meeting of governors at which a quorum is present may exercise all the powers exercisable by the governors.

80. In addition to all powers hereby expressly conferred upon them and without detracting from the generality of their powers under the articles the governors shall have the following powers, namely:

to expend the funds of the Trust in such manner as they shall consider most beneficial for the achievement of the Objects and to invest in the name of the Trust such part of the funds as they may see fit and to direct the sale or transposition of any such investments and to expend the proceeds of any such sale in furtherance of the Objects;

to enter into contracts on behalf of the Trust.

81. In the exercise of their powers and functions, the governors may consider any advice given by the Principal and any other executive officer.

#### GOVERNORS' EXPENSES

82. Except to the extent permitted by article 4 and subject to articles 106 to 108, no governor shall take or hold any interest in property belonging to the

Trust or receive remuneration or be interested otherwise than as a governor in any contract to which the Trust is a party.

#### THE MINUTES

83. The minutes of the proceedings of a meeting of the Governing Body shall be drawn up and entered into a book kept for the purpose by the person acting as clerk for the purposes of the meeting; and shall be signed (subject to the approval of the Governing Body) at the same or next subsequent meeting by the person acting as chairman thereof. The minutes shall include a record of:

- (a) all appointments of officers made by the governors; and
- (b) all proceedings at meetings of the Trust and of the governors and of committees of governors including the names of the governors present at each such meeting.

#### DELEGATION

84. The governors may delegate to any governor, committee, the Principals or any other holder of an executive office, such of their powers or functions as they consider desirable to be exercised by them. Any such delegation may be made subject to any conditions the governors may impose, and may be revoked or altered.

85. Where any power or function of the governors has been exercised by any committee, any governor, Principal or any other holder of an executive office, that person or committee shall report to the governors in respect of any action taken or decision made with respect to the exercise of that power or function at the meeting of the governors immediately following the taking of the action or the making of the decision.

86. The governors may establish any committee to exercise, subject to these articles, powers and functions of the governors. The constitution, membership and proceedings of any committee of the governors shall be determined by the governors. The establishment, terms of reference, constitution and membership of any committee of the governors shall be reviewed at least once in every twelve months. The membership of any

committee of the governors may include persons who are not governors, provided that a majority of members of any such committee shall be governors. The governors may determine that some or all of the members of a committee who are not governors shall be entitled to vote in any proceedings of the committee. No vote on any matter shall be taken at a meeting of a committee of the governors unless the majority of members of the committee present are governors.

#### PRINCIPAL

87. The governors shall appoint the Principals. The governors may delegate such powers and functions as they consider are required by the Principals for the internal organisation, management and control of the Academies (including the implementation of all policies approved by the governors and for the direction of the teaching and curriculum at the Academies).

#### MEETINGS OF THE GOVERNING BODY

88. Subject to these articles, the governors may regulate their proceedings as they think fit.

89. The Governing Body shall hold at least one meeting in every school term. Meetings of the Governing Body shall be convened by the clerk. In exercising his functions under this article the clerk shall comply with any direction—

- (a) given by the Governing body; or
- (b) given by the chairman of the Governing Body or, in his absence or where there is a vacancy in the office of chairman, the vice-chairman of the Governing Body, so far as such direction is not inconsistent with any direction given as mentioned in (a).

90. Any three governors may, by notice in writing given to the clerk, requisition a meeting of the Governing Body; and it shall be the duty of the clerk to convene such a meeting as soon as is reasonably practicable.

91. Each governor shall be given at least fourteen clear days before the date of a meeting –

notice in writing thereof, signed by the clerk, and sent to each governor at the address provided by each governor from time to time; and

a copy of the agenda for the meeting;

provided that where the chairman or, in his absence or where there is a vacancy in the office of chairman, the vice-chairman, so determines on the ground that there are matters demanding urgent consideration, it shall be sufficient if the written notice of a meeting, and the copy of the agenda therefore are given within such shorter period as he directs.

92. The convening of a meeting and the proceedings conducted thereat shall not be invalidated by reason of any individual not having received written notice of the meeting or a copy of the agenda therefore.

93. A resolution to rescind or vary a resolution carried at a previous meeting of the Governing Body shall not be proposed at a meeting of the Governing Body unless the consideration of the rescission or variation of the previous resolution is a specific item of business on the agenda for that meeting.

94. A meeting of the Governing Body shall be terminated forthwith if—

- (a) the Governing Body so resolve; or
- (b) the number of governors present ceases to constitute a quorum for a meeting of the Governing Body in accordance with article 96, subject to article 98.

95. Where in accordance with article 93 a meeting is not held or is terminated before all the matters specified as items of business on the agenda for the meeting have been disposed of, a further meeting shall be convened by the clerk as soon as is reasonably practicable, but in any event within seven days of the date on which the meeting was originally to be held or was so terminated.

96. Where the Governing Body resolve in accordance with article 93 to adjourn a meeting before all the items of business on the agenda have been disposed of, the Governing Body shall before doing so determine the time and date at which a further meeting is to be held for the purposes of completing

the consideration of those items, and they shall direct the clerk to convene a meeting accordingly.

97. Subject to article 98 the quorum for a meeting of the Governing Body, and any vote on any matter thereat, shall be any three governors, or, where greater, any one third (rounded up to a whole number) of the total number of governors holding office at the date of the meeting).

98. The governors may act notwithstanding any vacancies in their number, but, if the numbers of governors is less than the number fixed as the quorum, the continuing governors may act only for the purpose of filling vacancies or of calling a general meeting.

99. The quorum for the purposes of—

- (a) appointing a parent governor;
- (b) any vote on the removal of a member of the Governing Body in accordance with article 55;
- (c) any vote on the removal of the chairman of the Governing Body in accordance with articles 55, and 71

shall be any two-thirds (rounded up to a whole number) of the persons who are at the time governors entitled to vote on those respective matters.

100. Subject to these articles, every question to be decided at a meeting of the Governing Body shall be determined by a majority of the votes of the members present and voting on the question.

101. Subject to articles 96 to 98, where there is an equal division of votes the chairman or, as the case may be, the person who is acting as chairman for the purposes of the meeting, shall have a second or casting vote.

102. The proceedings of the Governing Body shall not be invalidated by—

- (a) any vacancy among their number, or
- (b) any defect in the election, appointment or nomination of any governor.

103. A resolution in writing, signed by all the governors entitled to receive notice of a meeting of governors or of a committee of governors, shall be valid

and effective as if it had been passed at a meeting of governors (or as the case may be) a committee of governors duly convened and held. Such a resolution may consist of several documents in the same form, each signed by one or more of the governors.

104. Subject to this article, the Governing Body shall ensure that a copy of—

- (a) the agenda for every meeting of the Governing Body;
- (b) the draft minutes of every such meeting, if they have been approved by the person acting as chairman of that meeting;
- (c) the signed minutes of every such meeting; and
- (d) any report, document or other paper considered at any such meeting,

are, as soon as is reasonably practicable, made available at the Academies to persons wishing to inspect them.

105. There may be excluded from any item required to be made available in pursuance of article 103, any material relating to—

- (a) a named teacher or other person employed, or proposed to be employed, at either of the Academies;
- (b) a named pupil at, or candidate for admission to either of the Academies; and
- (c) any matter which, by reason of its nature, the governing body are satisfied should remain confidential.

106. Any governor shall be able to participate in meetings of the Governing Body by telephone provided that he has given notice of his intention to do so detailing the telephone number on which he can be reached at the time of the meeting at least 48 hours before the meeting.

107. Any governor who has any duty or pecuniary interest (direct or indirect) which conflicts or may conflict with his duties as a Governor shall disclose that fact to the Governing Body as soon as he becomes aware of it, and shall absent himself from any discussion of that interest by the Governing Body.

108. Without limitation to the generality of article 107, a governor shall be



treated as having a pecuniary interest in a contract or proposed contract or other arrangement with either of the Academies if:

- (a) he is a director or a member holding more than 1/100<sup>th</sup> of the issued share capital of a company with which the contract or arrangement was made or is proposed to be made or which has a direct pecuniary interest in the matter under consideration; or
- (b) he is a partner in a partnership or member of an unincorporated association or any other body with whom the contract or arrangement was made or is proposed to be made or which has a direct pecuniary interest in the matter under consideration or
- (c) he, or a partner of his, is in the employment of a person with whom the contract was made or is proposed to be made or who has a direct pecuniary interest in the matter under consideration.

109. For the purposes of articles 107 and 108, an interest of a person who is, within the meaning of sections 252 to 255 of the Act, connected with a governor shall be treated as an interest of the governor. This shall include:

- (a) that governor's spouse, child or stepchild; or
- (b) a body corporate with which the governor is associated (i.e. if that governor and persons connected with him together are interested in shares comprising at least one fifth of the share capital of the company or are entitled to exercise more than one fifth of the voting power at any general meeting of that company); or
- (c) a person acting in his capacity as trustee of any trust the beneficiaries of which include:
  - the governor, his spouse or any children or stepchildren of his; or
  - a body corporate with which he is associated; or
- (d) a person acting in his capacity as a partner of that governor or of any person who, by virtue of paragraphs (a), (b) or (c) above, is connected with that governor.

## PATRONS AND HONORARY OFFICERS

110. The governors may from time to time appoint any person whether or not a member of the Trust to be a patron of the Trust or to hold any honorary office and may determine for what period he is to hold such office.

## THE SEAL

111. The seal shall only be used by the authority of the governors or of a committee of governors authorised by the governors. The governors may determine who shall sign any instrument to which the seal is affixed and unless otherwise so determined it shall be signed by a governor and by the clerk or by a second governor.

## ACCOUNTS

112. Accounts shall be prepared in accordance to the provisions of the Act.

## ANNUAL REPORT

113. The governors shall comply with their obligations under the Charities Act 1993 (or any statutory re-enactment or modification of that Act) with regard to the preparation of an annual report and its transmission to the Commissioners.

## ANNUAL RETURN

114. The governors shall comply with their obligations under the Charities Act 1993 (or any statutory re-enactment or modification of that Act) with regard to the preparation of an annual return and its transmission to the Commissioners.

## NOTICES

115. Any notice to be given to or by any person pursuant to the articles shall be in writing except that a notice calling a meeting of the governors need not be in writing.

116. A notice may be given by the Trust to a member either personally or by sending it by post in a prepaid envelope addressed to the member at his registered address or by leaving it at that address. A member whose registered address is not within the United Kingdom and who gives to the

Trust an address, within the United Kingdom at which notices may be given to him shall be entitled to have notices given to him at that address, but otherwise no such member shall be entitled to receive any notice from the Trust.

117. A member present in person at any meeting shall be deemed to have received notice of the meeting and, where necessary, of the purposes for which it was called.

118. Proof that an envelope containing a notice was properly addressed, prepaid and posted shall be conclusive evidence that the notice was given. A notice shall be deemed to be given at the expiration of 48 hours after the envelope containing it was posted.

#### INDEMNITY

119. Subject to the provisions of the Act every governor or other officer or governor or auditor of the Trust shall be indemnified out of the assets of the Trust against any liability incurred by him in that capacity in defending any proceedings, whether civil or criminal, in which judgment is given in favour or in which he is acquitted or in connection with any application in which relief is granted to him by the court from liability for negligence, default, breach of duty or breach of trust in relation to the affairs of the Trust.

#### RULES

120. The governors may from time to time make such rules or bye laws as they may deem necessary or expedient or convenient for the proper conduct and management of the Trust and for purposes of prescribing classes of and conditions of membership, and in particular but without prejudice to the generality of the foregoing, they may by such rules or bye laws regulate:

- (a) the admission and classification of members of the Trust (including the admission of organisations to membership) and the rights and privileges of such members, and the conditions of membership and the terms on which members may resign or have their membership terminated and the entrance fees, subscriptions and other fees or payments to be made by members;

- (b) the conduct of members of the Trust in relation to one another, and to the Trust's servants;
- (c) the setting aside of the whole or any part or parts of the Trust's premises at any particular time or times or for any particular purpose or purposes;
- (d) the procedure at general meetings and meetings of the governors and committees of the governors and meetings of the governing body in so far as such procedure is not regulated by the articles;
- (e) generally, all such matters as are commonly the subject matter of company rules.

121. The Trust in general meeting shall have power to alter, add or to repeal the rules or bye laws and the governors shall adopt such means as they think sufficient to bring to the notice of members of the Trust all such rules or bye laws, which shall be binding on all members of the Trust. Provided that no rule or bye law shall be inconsistent with, or shall affect or repeal anything contained in, the memorandum or the articles.

122. Notwithstanding the number of members from time to time, the maximum aggregate number of votes exercisable by local authority associated persons shall never exceed 19.9% of the total number of votes exercisable by members in general meeting and the votes of the other members having a right to vote at the meeting will be increased on a pro-rata basis.

123. No person who is a local authority associated person may be appointed as a governor if, once the appointment had taken effect, the number of governors who are local authority associated persons would represent 20% or more of the total number of governors. Upon any resolution put to the governors, the maximum aggregate number of votes exercisable by any governors who are local authority associated persons shall represent a maximum of 19.9% of the total number of votes cast by the governors on such a resolution and the votes of the other governors having a right to vote at the meeting will be increased on a pro-rata basis.

124. No person who is a local authority associated person is eligible to be appointed to the office of governor unless his appointment to such office is authorised by the local authority to which he is associated.

125. If at the time of either his becoming a member of the Trust or his first appointment to office as a governor any member or governor was not a local authority associated person but later becomes so during his membership or tenure as a governor he shall be deemed to have immediately resigned his membership and/or resigned from his office as a governor as the case may be.

126. If at any time the number of governors or members who are also local authority associated persons would (but for Articles 129 to 132 inclusive) represent 20% or more of the total number of governors or members (as the case may be) then a sufficient number of the governors or members (as the case may be) who are local authority associated persons shall be deemed to have resigned as governors or members (as the case may be) immediately before the occurrence of such an event to ensure that at all times the number of such governors or members (as the case may be) is never equal to or greater than 20% of the total number of governors or members (as the case may be). governors or members (as the case may be) who are local authority associated persons shall be deemed to have resigned in order of their appointment date the most recently appointed resigning first.

# **Annex B**

## **Requirements for the Admission of pupils at The Aspire Academy ("the Academy")**

### **General**

1. This Annex may be amended in writing at any time by agreement between the Secretary of State and The Archbishop Sentamu Academy ("the Company").

2. The Company will act in accordance with equalities law.

3. Except where paragraphs 4 or 5 applies, the Company may not admit a child of compulsory school age unless it is by way of a referral from a Commissioner through one of the referral routes set out in paragraph 6 below.

4. Notwithstanding any provision in this Annex, the Secretary of State may:

(a) direct the Company to admit a named pupil to the Aspire Academy ("the Academy") on application from a local authority. This will include complying with a School Attendance Order<sup>4</sup>. Before doing so the Secretary of State will consult the Company.

(b) direct the Company to admit a named pupil to the Academy if the Company has failed to act in accordance with this Annex or has otherwise failed to comply with applicable equalities legislation.

(c) direct the Company to amend its admission arrangements where the Company fails to comply with relevant legislation or where the Secretary of State is concerned that because of its admissions arrangements the Academy is no longer meeting the requirements at 1C of the Academies Act 2010.

5. Pupils on roll in any predecessor provider will transfer automatically to the Academy on opening. All children already offered a place at any predecessor provider will be admitted.

The Company will:

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<sup>4</sup> Local authorities are able to issue school attendance orders if a child is not attending school. These are legally binding upon parents. Such an order might, for instance, be appropriate where a child has a place at an alternative provision Academy but his/her parents are refusing to send him/her to school. The order will require a parent to ensure his/her child attends a specified school.

a) Subject to its right of appeal to the Secretary of State in relation to a named pupil, admit all pupils with a statement of special educational needs naming the Academy; and

b) Adopt admission oversubscription criteria<sup>5</sup> that give highest priority to looked after children.

### **Admission arrangements**

6. The Company may only admit a child of compulsory school age:

a) referred by a local authority where the local authority has a duty to that child under section 19 of the Education Act 1996.<sup>6</sup>

b) referred by a maintained school or Academy where the maintained school or Academy has a duty under Section 100 of the Education and Inspections Act 2006.<sup>7</sup>

c) referred by a maintained school under powers set out in section 29(A) of the Education Act 2002<sup>8</sup>.

d) referred by an Academy which, under general powers in the Articles of the Academy Trust may send pupils off-site to an alternative provision Academy as part of early intervention measures to address behaviour. However, as with a maintained school there is an expectation in law that a pupil will be educated at the school where he is registered, so placements would generally be relatively short and subject to review<sup>9</sup>.

7. The Company shall have admission arrangements agreed with the Department which will include oversubscription criteria, a fair, transparent and objective process for considering whether the education provided will be appropriate for prospective pupils and an admission number for each relevant key stage. The Company will consult on its admission arrangements.

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<sup>5</sup> Over subscription criteria means how the Academy Trust will distinguish/prioritise between pupils where it has more referrals than places currently available.

<sup>6</sup> Section 19 of the Education Act 1996, and regulations made under that section, require a local authority to make arrangements (from the sixth day of exclusion where a pupil has been permanently excluded) for the provision of suitable, full time (unless there are medical reasons as to why this would not be appropriate) education at school or otherwise for a child of compulsory school age who, for a range of reasons, would otherwise be without such education.

<sup>7</sup> Section 100 of the Education and Inspections Act 2006 requires maintained schools and Academies to arrange full-time education for pupils on a fixed period exclusion of more than five days from the sixth day of the exclusion.

<sup>8</sup> Section 29A of the Education Act 2002 provides that governing bodies of maintained schools may direct a pupil off-site for the purpose of receiving educational provision which is intended to improve the behaviour of the pupil.

<sup>9</sup> It is possible that some off-site directions may become longer term placements in cases where the referring school and local authority agree that the provision in an alternative provision Academy is meeting the pupil's needs, and that a mainstream school place cannot meet that pupil's needs. These pupils could fall within the terms of section 19 of the Education Act.

8. Any changes to admission arrangements proposed by the Company should be discussed with Commissioners and must be agreed with the Secretary of State.

### **Pupil registration and information sharing**

9. The pupil numbers of an alternative provision Academy will fluctuate throughout the academic year.

10. The Company must ensure that pupils are appropriately registered<sup>10</sup>.

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<sup>10</sup> The requirements of section 434 of the Education Act 1996 (registration of pupils) and regulations made under that section apply to schools (which includes alternative provision Academies)



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## ANNEX C

### **Arrangements for pupils with Special Educational Needs ('SEN') and disabilities at the Aspire Academy**

#### **Duties in relation to pupils with SEN**

1. The Governing Body of the Academy Trust must comply with all of the duties imposed upon the governing bodies of maintained schools in:
  - Part 4 of the Education Act 1996 as amended from time to time<sup>10</sup>;
  - The Education (Special Educational Needs) (Information) Regulations 1999 as amended from time to time;
  - The Education (Special Educational Needs Co-ordinators) (England) (Amendment) Regulations 2008 as amended from time to time<sup>10</sup>.
2. Notwithstanding any provision in this Agreement, the Secretary of State may (whether following a complaint made to him or otherwise) direct the Academy Trust to comply with an obligation described in this Annex where the Academy Trust has failed to comply with any such obligation.
3. Where a child who has SEN is being educated in the alternative provision Academy, those concerned with making special educational provision for the child must secure that the child engages in the activities of the school together with children who do not have SEN, so far as is reasonably practicable and is compatible with:
  - (a) the child receiving the special educational provision which his learning difficulty calls for,
  - (b) the provision of efficient education for the children with whom he will be educated, and
  - (c) the efficient use of resources.
4. In addition to complying with the duties imposed upon the governing bodies of maintained schools set out in The Education (Special Educational Needs) (Information) Regulations 1999 (as amended from time to time), the Academy Trust must ensure that the alternative provision Academy's website includes details of the arrangements for the admission of disabled pupils; the steps taken to prevent disabled pupils from being treated less favourably than other pupils; and the facilities provided to assist access to the alternative provision Academy by disabled pupils (disabled pupils meaning pupils who are disabled for the purposes of the Equality Act 2010<sup>10</sup>).

In the case of a fixed period exclusion or an off site direction, the excluded pupil should remain on the register of the excluding school as they are expected to return when the exclusion period is completed and should also be registered with the Academy (dual registered). In the case of a permanent exclusion, the excluded pupil should be removed from the excluding school's register and be registered with the Academy.

11. As far as reasonably practicable, in agreeing contractual arrangements with Commissioners the Company shall request appropriate information on the needs and prior attainment of pupils who will attend the Academy.

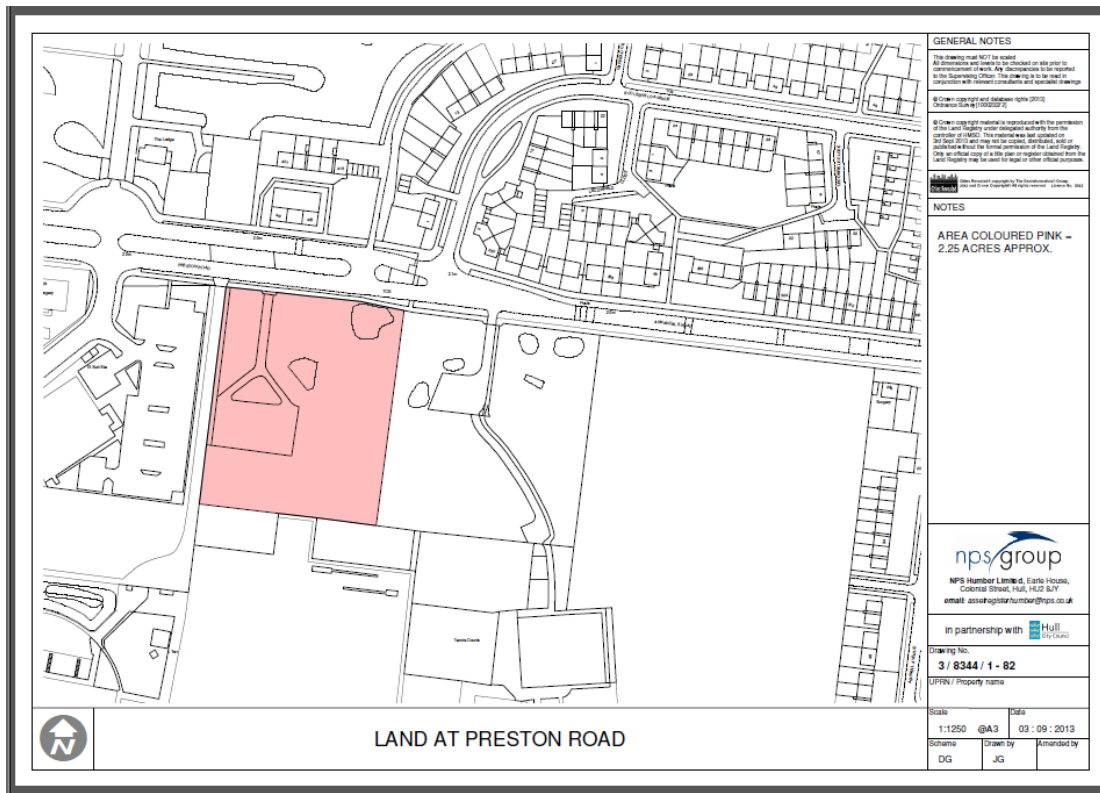
12. The Company will provide regular feedback to a Commissioner (and in any event when requested by the Commissioner to do so) on progress made by the pupil, the pupil's needs and attainment.

### **Objections and determinations**

13. The Company must make clear when determining the Academy's admission arrangements, that objections should be submitted to the EFA or any successor to it.

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# ANNEX D SITE MAP



**GENERAL NOTES**

This drawing must NOT be scaled.  
 All dimensions and levels are to be checked on site prior to construction and shall be subject to the Surveyors Order. This drawing is to be used in conjunction with relevant regulations and specialist drawings.

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**NOTES**

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