

# Pupil Referral Unit application to convert to academy status

Please complete all relevant fields with information.

*Please note that information provided on this application form, including personal information, may be subject to publication or disclosure in accordance with the access to information regimes, primarily the Freedom of Information Act 2000 and the Data Protection Act 1998.*

## 1. Basic details

|  |  |
| --- | --- |
| FULL PRU name and postal address |  |
| Local authority name and LA/ESTAB number |  |
| PRU URN |  |
| Name of headteacher |  |
| PRU email address |  |
| Telephone number  (other contact number) |  |
| Name of chair of the management committee  (other contact number) |  |
| Email address |  |
| Telephone number |  |
| Name of the main contact for the conversion process. If not one of the above, include role, email address and telephone number |  |

## 2. Conversion date

|  |  |
| --- | --- |
| Your conversion date will be scheduled for approximately five months form the 1st of the month following the month in which you apply.  If you wish to convert on an alternate date, please give the date and your reasons. | Please confirm the date on which you wish to open as an academy. |

## 3. Multi-academy trust or single academy trust

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Are you applying to join a multi-academy trust or as a single academy trust?  Please mark the relevant box. | **Multi-academy trust** |  | **Single academy trust** |  |
| If you are joining an existing multi-academy trust, please give the name of the trust that the PRU is joining. | Name of trust:  Trust has consented to your PRU joining them: | | | |
| If you are forming a new multi-academy trust, please give the name of the trust (if known), and the names of the other schools /PRUs in the trust. | Name of trust:  Other schools/PRUS in trust: | | | |
| If you are applying as a single academy trust, please state the name of the school(s) or PRUS (s) you will be supporting and what support you will be providing. | Name:  Support: | | | |

### Governance

|  |  |
| --- | --- |
| Number of members of the trust  Names of members  Experience/background |  |
| Total number of people on the board of trustees  Name of the chair of the trust  Experience/background |  |
| Name of the finance director  Experience/background |  |
| Name of the HR director    Experience/background |  |
| Name of the head of school improvement  Experience/background |  |

## 4. Pupils

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Age range | [number]-[number] (youngest to oldest) | | | | | |
| Type of referral  Please specify the approximate percentage of each type of referral to your PRU. | Permanent exclusion | % | Fixed period exclusion | % | Early intervention to improve behaviour | % |
| Medical referrals | % | School-age mothers | % | Other (please specify) | % |
| **Full-time Equivalent (FTE) pupils** | | | | | | |
| What is the physical capacity of the PRU? | (number)  *If your PRU operates more than one set of premises, please list the capacity at each as well as the total physical capacity of the PRU.* | | | | | |
| Does the PRU have residential provision? | Yes/No | | | | | |
| Number of pupils recorded in the last census | (number) | | | | | |
| Number of places for the next academic year (as agreed with the LA) | Yes/No | | | | | |
| Does the number of agreed places include places commissioned by schools? | Yes/No | | | | | |
| **Breakdown of places** | | | | | | |
| Alternative Provision  (total places within pre-16 High Needs Block) |  | | | | | |
| SEN Unit  (any places in a LA-designated SEN unit/resourced provision) |  | | | | | |
| Hospital education places  (any places that are direct referrals by a medical practitioner) |  | | | | | |

## 5. Information on educational outcomes and attendance

Please provide information on pupil outcomes and progress based on national curriculum assessment and/or P-scales where applicable. This information can include teacher assessments for pupils working below Level 1 and/or Level 3, information on NVQs and other national qualifications, patterns of attainment, achievement and progress and destinations of pupils.

Summary of Progress in English and Maths at KS2/KS4 based on the Expected Progress set out in the National Progression Guidance [select as appropriate]

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **English** | **No. Students** | **% LQ** | **% Median** | **% UQ** | **Progress range** |
| All students |  |  |  |  |  |
| Pupil Premium |  |  |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Maths** | **No. Students** | **% LQ** | **% Median** | **% UQ** | **Progress range** |
| All students |  |  |  |  |  |
| Pupil Premium |  |  |  |  |  |

All pupils:

|  |  |
| --- | --- |
| **Attendance rates (for previous year)** | **Percentage** |
| Attendance rate (overall) | % |
| Persistent absence at 15% | % |

**Pupil Destinations (approximate breakdown)**

Please provide the approximate percentage of pupils for each destination, once they have left the PRU.

|  |  |
| --- | --- |
| Back to mainstream education | % |
| Training | % |
| Employment | % |
| NEET | % |
| Other (please specify) | % |
| **Total** | 100% |

**Please provide below a brief summary on quality and pupil outcomes**

|  |
| --- |
| *(i.e. systems to reintegrate into mainstream education, sharing systems used between schools, how pupils’ needs are assessed, how personalised programmes are developed, etc.)* |

**Commissioners of Places and Top-Up Rates**

Please provide information on Commissioners of Places and on any additional funding that is not included in the budget from an LA (e.g. from clusters of schools or academies, or grants.)

|  |  |  |
| --- | --- | --- |
|  | | |
| **Commissioners of places** | | **Approx. percentage of places commissioned** |
| Local authority | | % |
| Mainstream schools / Academies | | % |
| Other (*please specify*) | | % |
| Please provide details of your agreed Top-Up funding rates? | | £ |
| What is your PRU’s Per Place cost? | | £ |
| **Additional funding**  **Please provide information on any additional funding not included in budget from LA (e.g. from clusters of schools, from grants)** | | |
| How much is being received? |  | |
| Who provides the funding? |  | |
| What agreement covers this? |  | |
| Will this funding continue post-conversion? | Yes / No  *If Yes, for how long and under what agreements/arrangements* (e.g. Service Level Agreement with schools) | |

## 6. Finances

Please state what the revenue carry forward was/will be at the following dates:

|  |  |
| --- | --- |
| The end of last financial year) | The end of this financial year) |
|  |  |

Please state what the capital carry forward was/will be at the following dates:

|  |  |
| --- | --- |
| The end of last financial year) | The end of this financial year |
|  |  |

If the PRU has a revenue or capital deficit, please provide a summary of how the deficit is being handled. (Please also see the guidance at the end of this form on how deficits will be assessed during the academy order approval process.)

|  |
| --- |
|  |

Similarly, if the PRU’s expected carry forward for the next financial year is lower than the actual carry forward for the current financial year, please explain the reasons for this.

|  |
| --- |
|  |

If the PRU has any existing loans, please provide details of who the loan is with, how much for and for how long.

|  |
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|  |

Please provide information on any additional funding from the LA (e.g. for outreach work, grants) or other funding streams.

|  |
| --- |
|  |

## 7. Additional information

|  |  |  |  |
| --- | --- | --- | --- |
| Please confirm the date of the PRU’s most recent Ofsted inspection and the school’s overall grade.  (Please also confirm if the PRU has recently been inspected by Ofsted but the report has not yet been published.) | | | **Details** |
| Is your PRU part of an LA reorganisation?  If yes, please provide brief details below: | | **Yes/No** | |
| Is your PRU part of any LA closure plans? | | **Yes/No** | |
| If yes, please provide brief details below: | | | |
| The management committee has discussed the statutory consultation exercise  and considered its equality assessment needs.  We will require confirmation that the management committee has considered what plans it has for the statutory consultation exercise and any equality impact assessment. Your project lead will contact you to discuss this. | | **Yes/No**  **Yes/No** | |
| **Please provide details of the current constitution of the Management Committee** | |  | |
| **Category** | | **Number** | |
| Community members | |  | |
| LA members |  | | |
| Other (please specify) | | |  |
| Please provide some brief details on how you propose to restructure the governance on conversion. | | | |

**Staffing at the PRU**

Please provide information on the staffing at the PRU.

|  |  |
| --- | --- |
| Number of staff employed by the PRU |  |
| How many members of staff work full-time for the PRU? |  |
| How many members of staff work part-time for the PRU? |  |
| Is the intention that all staff would transfer to the Academy Trust on conversion? |  |

### Land and buildings

If your PRU operates from more than one site, please answer all the questions of this section for each site.

|  |  |  |  |
| --- | --- | --- | --- |
| **Site name** | **Owner of land and buildings** | **Proposed method for land transfer** | |
|  |  |  | |
|  | (e.g. LA, NHS, etc.) | (e.g. intend to agree 125 year lease with LA for continued use of site post-conversion) | |
|  |  |  | |
|  |  |  | |
|  |  |  | |
|  |  |  | |
|  |  |  | |
| Are any of the sites privately rented? | | | Yes / No |
| If yes, please provide details of arrangements below, including the amount paid per annum and how this is funded? | | | |
|  | | | |

**Building works and construction**

|  |  |
| --- | --- |
| Are any construction / building works planned for the PRU or are there any building works that will be underway at the planned conversion date? | **Yes/No** |
| If yes, please provide details below of what is being done, the scheduled completion date and whether the arrangements for funding will be affected by conversion: | |
| Is there a nursery, children’s centre, swimming pool, leisure centre, community library or any other shared facility on site? | **Yes/No** |
| If yes, please state below what, and whether the PRU has any proposals to retain (or acquire) the facility as part of the conversion process: | |
| Has the PRU been in receipt of any grants from Sport England, The Big Lottery Fund, or the Football Federation? | **Yes/No** |
| If yes, please state below which body awarded the grant(s), how much they were for and what facilities were funded: | |
| Is your PRU part of a PFI scheme? | **Yes/No** |
| Is your PRU part of the Priority School Building Programme? | **Yes/No** |
| Is your PRU part of the Building Schools for the Future programme? |  |

|  |  |  |
| --- | --- | --- |
| Would the PRU be interested in finding out more about becoming an academy sponsor? | | **Yes/No** |
| What prompted you to apply for academy status? Please tick any that apply | | |
| 1. Information at a FASNA/SSAT Event: |  | |
| 1. Another academy or academy sponsor: |  | |
| 1. The Academies Show: |  | |
| 1. Letter from DfE: |  | |
| 1. A DfE project lead |  | |
| 1. Other – give details below: | | |

## 8. Academy support grant

Please complete the school’s bank details below so we can pay your £25,000 support grant promptly following the award of an academy order. To claim this grant, you must agree to the terms of the [support grant certificate](https://www.gov.uk/government/publications/academy-support-grant). Please indicate you have read and agree the terms by putting a cross in the box below. (Claims that do not include this will not be processed and you will not be paid.)

|  |  |  |  |
| --- | --- | --- | --- |
| **Amount being claimed**  (please put X in relevant box below) | | | |
| **£25,000**  Single site PRU | **£30,000**  PRU on two sites | **£35,000**  PRU on 3 - 4 sites | **£45,000**  PRU on 5+ sites |
|  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| I confirm I wish to claim the support grant and I agree to be bound by the terms of the support grant certificate | | | | | | | | | YES | | NO |
|  | |  |
| Name of bank | | | | | | | | | | | |
|  | | | | | | | | | | | |
| Bank branch address | | | | | | | | | | | |
|  | | | | | | | | | | | |
| Bank account name | | | | | | | | | | | |
|  | | | | | | | | | | | |
| Sort code | | | | | | | | | | | |
|  |  |  |  |  |  |  |  |  | |  | |
| Account number | | | | | | | | | | | |
|  |  |  |  |  |  |  |  |  | |  | |

## 9. Declaration of the management committee

By submitting this application we, the management committee of the PRU named in this application, confirm that:

* we have the authority to resolve that our PRU should become an alternative provision academy;
* all the information included is true and accurate to the best of our knowledge;
* a resolution to apply to convert to alternative provision academy status has been held and carried and a record of this decision is available should departmental officials wish to see it;
* we will, in accordance with Section 5 of the Academies Act, consult with any stakeholder we consider relevant to our conversion to academy status and also consider any equality needs, and that this consultation will be completed before we sign our funding agreement;
* there are no financial or safeguarding investigations ongoing at our PRU;
* individuals who will act as members and trustees of the proposed academy trust, as well as the individuals associated with it, must 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;
* we accept that the department may ask for any additional information as it sees fit to assess our application and that as a condition of our conversion we shall provide it;
* should any information presented in this application be revealed to be false or misleading, our application may be rejected and our academy order potentially rescinded if it has already been awarded.

|  |  |
| --- | --- |
| Name and position of the person that completed this form |  |
| Date form was completed |  |

# Supporting notes

## 1. Basic details

Please state the PRU’s **full** name, its address, the local authority name and the LA/Estab number so that we can correctly identify your PRU.

We require the name and contact information of the headteacher and the chair of the governing body. It would be helpful to know who the main person is to contact during the conversion process. For example, if it is the business manager or a consultant, please provide that person’s name and contact details.

## 2. Conversion date

**The default conversion date is 5 months from the month of application - a straightforward conversion will take around 5 months to complete. If the PRU is part of a PFI contract, it can take 6 months or longer to complete the process.** If you would prefer to opt for an alternative date, please state this on the application. Your project lead will discuss this with you in more detail either whilst processing your application or as soon as you gain an academy order.

## 3. Multi-academy trust or single academy trust

There are two types of academy trust:

1. multi-academy trust (MAT) - MATs run more than one academy. The MAT is a charitable company with a single set of articles of association. It is a single legal entity accountable for a number of academies; its board of trustees is accountable for all the academies in the trust. The trust enters into a master funding agreement (MFA) with the Secretary of State, and into supplemental funding agreements (SFA) for each academy it operates.
2. single academy trust (SAT) – a SAT is responsible for one academy. It has its own articles of association and funding agreement with the Secretary of State. Its board of trustees is accountable for that one academy only.

We believe all schools and PRUS, including those performing well, will benefit from being in a multi-academy trust. We want schools and PRUS to operate in strong, resilient structures which raise standards. Multi-academy trusts bring together leadership, autonomy, funding and accountability in a single structure, and are the best long-term formal arrangement for schools and PRUS to collaborate and support each other.

Because of these benefits, we expect that most schools and PRUs will form or join multi-academy trusts as they become academies. Effective schools and PRUs can apply to become single academy trusts, but will need to demonstrate that they are performing well and can be successful and sustainable alone. We expect most small schools and PRUs will be part of a multi-academy trust helping to secure their long term success.

### 3a. Multi-academy trust

You can apply to form a multi-academy trust with other schools or PRUs, or join an existing multi-academy trust.

If you are **joining an existing multi-academy trust** you must confirm that the established trust consents to your PRU joining them. Please send in their letter of consent with your application either by post or via the email address [RegionalServices.RG@education.gov.uk](mailto:RegionalServices.RG@education.gov.uk) We will be unable to progress your application without their consent.

**Forming a new trust –** please give the name of the trust and the other schools or PRUs that intend to join.

**Structure of MAT**–please give as much information as possible on who the members and trustees are/will be and how it is/will be structured, for example in a diagram. If you are forming the trust with other schools and PRUs, we recognise you may not have come to a firm decision on its structure yet, but it will be very helpful to see the early stages of your planning.

### 3.b Single academy trust

Each application to become a single academy trust will be considered on a case by case basis, with the decision being informed by various factors. These include:

* your PRU’s exam results from the last 3 years
* the progress your pupils have been making over the last 3 years
* your most recent Ofsted inspections
* your PRU’s capacity to be successful and sustainable as a single academy
* your PRU’s finances.

**Supporting another school** or PRU - as part of the conversion process, we expect Ofsted rated “outstanding” or “good with outstanding features” schools and PRUs which convert into an academy to commit to support at last one weaker school or PRU in return for academy status. For PRUs this could include supporting a another PRU to improve opportunities for children at risk of exclusion. . Please name the school(s) you will be supporting.

### 3.2 Trust governance

As part of the conversion process, we will expect your managing committee to consider its governance structure and arrangements because, as an academy trust, we would expect its board to be lean and tightly run.

We recognise that your managing committee may not have reached firm decisions on this yet and we are interested in their thinking as it develops – your governing body is not required to commit themselves to plans at this stage.

Your committee members may find it helpful to consult further information on the roles and responsibilities of members and trustees which can be found on:

* The Charity Commission website:
  + [Setting up and running a charity](https://www.gov.uk/topic/running-charity)
  + [Trustee role and board](https://www.gov.uk/topic/running-charity/trustee-role-board)
* The [Academy Trust Handbook](https://www.gov.uk/guidance/academy-trust-handbook)
* The [Governance handbook](https://www.gov.uk/government/publications/governance-handbook)

**Number of founding members of the trust** – these will be the individuals who will sign the memorandum of association that sets up the academy trust. The members agree the articles of association for the academy trust and hold the board of trustees to account for the management of the trust. The articles define the charitable purpose of the trust and how it will be run. The minimum number of members is three but we would encourage your management committee to consider having five members in order to ensure that the members have the necessary skills and expertise to hold the trustees to account for leadership/improvement, financial accounting and running a charitable company.

Please give the number of the members of the trust, the number of members who are also trustees, and the number of trustees.

## 4. Pupils

Pupil numbers should be based on the school’s budget for the current financial year and the number of pupil places for which the school is currently funded.

X – the number of pupil places for which the PRU is currently funded.

X – the number of any residential places for which the PRU is currently funded

PRUs and schools wishing to convert to academy status must convert “as is”. This means that they will not be able to alter their main characteristics during the course of the conversion process. Please note that we will corroborate this information with the local authority. If there is a discrepancy between the views of the PRU and the local authority, your project lead will seek to understand the reasons for this and will work with both parties to agree a position before the application can be considered further.

## 5. Information on educational outcomes and attendance

All PRUs should have in place systems for monitoring the progress and outcomes for their pupils. As such, in the absence of or in addition to national attainment data, PRUs should be able to provide information based on systems they use to track and review pupils progress and outcomes in support of their case to become an academy. This might include:

* Pupil outcomes based on national curriculum assessment and/or P-scales where applicable, such as Teacher assessments for pupils working below Level 1 and/or Level 3
* NVQs
* Destination of pupils at transition stages i.e. post 16, post 19, further education, employment.

### Information on pupil attendance

We would expect that PRUs would have low levels of unauthorised pupil absence and that higher absence rates would be related to any medical needs that pupils might have, although these absences would be authorised. Rising trends of unauthorised pupil absences would be a cause for concern, , and we would need to understand the reasons.

## 6. Finances

The finance section is particularly important and must be completed accurately to avoid delay to your application being processed. Please state the **revenue** and **capital** carry forward for the PRU at three points in time: the end of the previous financial year, the end of the current financial year and the point at which you intend to convert.

Please make it clear whether the amount at each point is a **surplus** or a **deficit** by writing the appropriate words in brackets after the figure.

If the PRU has a **deficit**, we need to know how this occurred and how long the school has been in this position. A deficit does not prevent your application being considered or approved, however we need to be assured that:

* the plan you have to reduce the deficit is workable
* the deficit will be eliminated within a short period of time
* that there is no longer term financial problem with the school that will mean a deficit will recur.

PRUs with large deficits will be asked to supply budget forecasts showing their current expenditure, how they expect to reach a balanced budget, and by when. The department's preferred format for that information is for income and expenditure to be set out using the Consistent Financial Reporting codes. Your project lead will provide you with a sample deficit recovery plan and explain what information is required from you.

It would be helpful to know whether the PRU is currently part of, or is planning to join a PFI scheme - if this is the case your project lead will contact you for further details and explain the process to you.

If the school has any outstanding loans please state the full amount, who they are with, and outline the repayment schedule.

## 7. Additional information

Please indicate whether the PRU has been included in any local authority plans for reorganisation or has been considered as part of the local authority’s closure plans. Please note that we will corroborate this information with the local authority and will need to discuss the situation with you as part of the application process.

The management committee has a duty to consult on whether or not the school should to convert to academy status. It also has a duty to consider whether an equalities impact assessment is required. We would therefore like confirmation that the management committee has plans for the statutory consultation and has considered its duty under the Equality Act 2010. Consultation and any impact assessment need to be completed before the conversion date.

**Building works, shared use including nurseries**, Sport England funding, PFI, BSF and PSBP - we do not need full information at this early stage, but it is helpful to know whether your PRU has any of these arrangements as they typically require additional time to deal with. This could affect your scheduled conversion date.

Finally, in this section you may also supply any other information that you consider relevant to your application or you think may be significant. For example, you may wish to tell us if you are planning a significant increase in pupils that your PRU provides for.

You may also send in any further information via [RegionalServices.RG@education.gov.uk](mailto:RegionalServices.RG@education.gov.uk) or in hard copy to the department.

## 8. Academy conversion support grant

In order to access the conversion support grant, please mark the box to confirm agreement to the terms of the grant and provide the PRU’s bank details.

## 9. Declaration of the managing committee

Please make sure that the managing committee has read and agrees to the declaration before sending the application form to the department. The person who completed the form should insert his or her name and post and also the date the form was completed.

Please email the completed application form (in Word format) to the following address: [RegionalServices.RG@education.gov.uk](mailto:RegionalServices.RG@education.gov.uk) and copy it to your DfE project lead.

# Support grant conditions

The conditions of the conversion support grant are in the [academy financial support grant claim form](https://www.gov.uk/government/publications/academy-support-grant). When you have converted to academy status you will be required to confirm that the grant has been spent on the specified purposes only.

For ease of reference, the conditions are:

1.Grant can only be used for the following purposes:

a) obtaining legal advice in respect of the conversion process;

b) the costs of software licence transfers;

c) HR/TUPE advice;

d) re-branding costs; and

e) expenses incurred in setting up of the academy trust.

2. You should retain records to show that the grant has been used for the purposes outlined in (1) above for 6 years after the end of the financial year in which the expenditure has taken place. The books and records of the school relating to the claiming and use of grant will be open to inspection by the National Audit Office and representatives of the Secretary of State as and when they may require.

3. a) In the event of a successful conversion, any unused element of grant should be transferred to the academy trust for the purposes described in its charitable objects, typically the advancement of education. The chair of the management committee will be expected to sign a declaration confirming how much of the grant has been spent at the point of conversion to academy status and, if relevant, how much has been transferred to the academy budget. The chair will send an [academy financial support certificate](https://www.gov.uk/government/publications/academy-support-grant) to the Secretary of State declaring this and including the exact amounts of money spent and transferred.

b) In the event that the conversion does not occur then any unused grant should be repaid to the Secretary of State within 10 working days of notifying us that you are withdrawing your application to convert.

4. When procuring goods and services for the PRU or academy, you are reminded of the requirement to comply with EU and UK procurement law and regulations when appropriate.

You will be paid grant within 14 days of the issue of your academy order.

Please email the completed application form (in Word format) to the following address: and copy it [RegionalServices.RG@education.gov.uk](mailto:RegionalServices.RG@education.gov.uk) to your DfE project lead.

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