



Department
for Education

Mainstream Academy and Free School: Supplemental Funding Agreement

December 2020 v7

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SUMMARY SHEET

Information about the Academy:

Name of Academy Trust	St Joseph Catholic Multi Academy Trust
Company number	13245781
Date of Master Funding Agreement	9 December 2021
Name of Academy	Holy Spirit Catholic Primary School
Opening date	1 April 2022
Type of academy (indicate whether academy or free school)	Higher Risk Catholic Academy
Religious designation	Roman Catholic
Wholly or partly selective	N/A
Name of predecessor school (where applicable)	Holy Spirit Catholic Primary School
Capacity number (of statutory school age places)	262
Age range	3 to 11
Number of sixth form places	N/A
Number of boarding places	N/A
SEN unit / Resource provision	N/A
Land arrangements (Version 1-8 or other)	Version 3
Address and title number of Land	Address: Poulson Drive, Bootle, Merseyside, L30 2NR Title Number: MS459525

Please confirm which clause variations have been applied or marked as 'Not used'

Clause No.	Descriptor	Applied	Not used
1.I	Only applies to free schools and new provision academies	x	✓
2.A.1	Clause applies where an academy was previously a VC or foundation school designated with a religious character	x	✓
2.C, 2.D	Only applies where the Academy has an SEN unit or Resourced Provision	x	✓
2.E	Only applies where there was a predecessor independent school	x	✓
2.E.1	Only applies to free schools and academies with nursery provision	✓	x
2.G	Clause does not apply to free schools (unless there was a predecessor independent school), or new provision academies	✓	x
2.M	Clause applies only to academies and free schools designated with a religious character	✓	x
2.N	Clause applies only to academies that were formerly wholly selective grammar schools	x	✓
2.O	Clause applies only to academies that were formerly partially selective grammar schools	x	✓
2. P.1	Clause only applies to free schools or academy converter schools where there was a predecessor maintained school	✓	x
2.T	Clause applies to free schools and new provision academies designated with a religious character	x	✓
2.W	Clause only applies where the Academy is designated with a religious character but was not previously a VC school or foundation school designated with a religious character (in which case use clause 2.Y instead). Also use 2.W where an	✓	x

Clause No.	Descriptor	Applied	Not used
	academy was previously a VC school but has gone through a significant change process to adopt VA characteristics in parallel with converting to an academy		
2.X	Clause only applies where the Academy has not been designated with a religious character	x	✓
2.Y	Clause only applies where an academy was previously a VC school or foundation school designated with a religious character and should be used instead of clause 2.W. Where an academy was previously a VC school but has gone through a significant change process to adopt VA characteristics in parallel with converting to an academy, use clause 2.W instead.	x	✓
2.Yc)	Sub-clause applies if the Academy is designated with a denominational religious character – CE etc. rather than 'Christian'	x	✓
3.A – 3.F	Applies to converter and sponsored academies	✓	x
3.H	Clause relating to Start-up only applies in some cases (does not apply to academy converters)	x	✓
3.I.1	Only applies to free schools and academies with nursery provision	✓	x
3.J	Clause only applies to full sponsored and intermediate sponsored academies with approved Academy Action Plans	✓	x
3.K	Clause does not apply to free schools (unless there was a predecessor independent school), or new provision academies	✓	x
5.G.1	Clause applies only to a boarding academy/free school.	x	✓
5.I	Clause only applies to sponsored academies	✓	x

Clause No.	Descriptor	Applied	Not used
5.K	Clause applies to free schools and may be applied to new provision academies	✗	✓
5.L	Clause applies to free schools and may be applied to new provision academies	✗	✓
5.M	Clause applies to free schools and may be applied to new provision academies	✗	✓
5.N	Clause applies to free schools and may be applied to new provision academies	✗	✓
5.O	Clause applies to free schools and may be applied to new provision academies	✗	✓
6.H	Clause only applies to schools which are designated with a Church of England or Roman Catholic character	✓	✗

Please identify any other variations from the model that apply to this Academy (e.g. clauses relating to PFI, or any required because the multi academy trust includes academies designated with different religious characters, or a mixture of those designated with a religious character, and those which are not):

Additional clauses will be supplied by your project lead if needed.

Descriptor	Clause No.	Applied	Not used
Higher Risk Catholic Academy Clauses			
Additional definition relating to Higher Risk Catholic Academy	1.F	✓	
Transfer out of a Higher Risk Catholic Academy	1.J – 1.P	✓	
Termination relation to a Higher Risk Catholic Academy	5.1A, 5.1B	✓	

1. ESTABLISHING THE ACADEMY

- 1.A This Agreement made between the Secretary of State for Education and St Joseph Catholic Multi Academy Trust is supplemental to the master funding agreement made between the same parties and dated 9 December 2021(the "**Master Agreement**").

Definitions and interpretation

- 1.B Except as expressly provided in this Agreement words and expressions defined in the Master Agreement will have those same meanings in this Agreement.
- 1.C The following capitalised words and expressions will have the following meanings:

"**The Academy**" means Holy Spirit Catholic Primary School.

"**Coasting**" has the meaning given by regulations under subsection (3) of section 60B of the Education and Inspections Act 2006 in relation to a school to which that section applies.

"**Funded Hours**" means the current applicable government funded entitlement to free childcare.

"**Guidance**" means guidance issued by or on behalf of the Secretary of State, as amended from time to time.

"**Pilot Period**" means either a period of two years commencing on the date of signing the Master Funding Agreement or, in the event that a Pilot Period Extension Notice is served, a period of three years commencing from the date of signing the Master Funding Agreement.

"**Pilot Period Extension Notice**" means a notice served under clause 1.32 of the Master Funding Agreement confirming that the duration of the Pilot Period will be extended to three years.

"SEN" means special educational needs and has the meaning set out in sections 20(1) and 21(2) of the Children and Families Act 2014.

"Supplemental Special Provisions" means clauses 1.J to 1.P and 5.1A to 5.1B.

"Termination Notice" means a notice sent by the Secretary of State to the Academy Trust, terminating this Agreement on the date specified in the notice.

"Termination Warning Notice" means a notice sent by the Secretary of State to the Academy Trust, stating his intention to terminate this Agreement.

1.D The Interpretation Act 1978 applies to this Agreement as it applies to an Act of Parliament.

1.E Reference in this Agreement to clauses and annexes will, unless otherwise stated, be to clauses and annexes to this Agreement.

The Academy

1.F The Academy is a Higher Risk Catholic Academy as defined in clause 1.5 of the Master Agreement.

1.G The Academy Trust will establish and maintain the Academy in accordance with the Master Agreement and this Agreement.

1.H The Academy Trust will open the Academy on 1 April 2022.

1.I Not used.

1.J The Supplemental Special Provisions shall only apply:

a) during the Pilot Period; or

b) if the Secretary of State has notified the Academy Trust in accordance with clause 1.34b) or clause 1.35 of the Master Agreement (in each case, a **Continuance Notice is issued**), for the duration of the Master Agreement.

1.K Subject to clause 1.J the Academy Trust undertakes to use its reasonable endeavours to achieve the key performance indicators set out in clause 1.N.

- 1.L (i) if all the key performance indicators in clause 1.N are met, subject to clause 1.J or (ii) following expiry of the Pilot Period unless a Continuance Notice has been served, the Secretary of State may serve a written notice on the Academy Trust requiring transfer of the Higher Risk Catholic Academy from the Academy Trust to another Catholic academy trust (a **"Transfer Notice"**).
- 1.M From receipt of a Transfer Notice, the Academy Trust undertakes, subject to clauses 1.J and 1.O to transfer the Higher Risk Catholic Academy to the Catholic academy trust identified in the Transfer Notice (the **"Incoming Academy Trust"**) pursuant to and in accordance with the following requirements:
- a) the deed of novation and variation to effect the transfer of the Supplemental Agreement for the Higher Risk Catholic Academy will be in substantially the relevant model form issued by the Secretary of State from time to time, subject to inclusion of the variations referred to in Schedule 1;
 - b) the Academy Trust will enter into such deed of novation and variation of the Supplemental Agreement within 3 months (or such longer reasonable period as the Secretary of State may agree) from receipt of a Transfer Notice;
 - c) the Academy Trust will use its best endeavours to transfer the relevant assets and liabilities relating to the Higher Risk Catholic Academy to the Incoming Academy Trust; and
 - d) the Academy Trust will enter into a transfer agreement with the Incoming Academy Trust to transfer the relevant assets and liabilities concerning the Higher Risk Catholic Academy to the Incoming Academy Trust in substantially the relevant model form issued by the Secretary of State from time to time.
- 1.N For the purposes of clauses 1.K and 1.L the key performance indicators are:
- a) **Educational Performance:**

- a. The Academy shows an improvement of at least one grade increase in the Trust self-evaluation document validated by annual review for: quality of education, leadership and management, personal development, behaviour and attitudes and early years. The grades in the 2019 S5 inspection under an old framework are inadequate for all areas and requires improvement for early years.
- b. The Trust's reading strategy is fully-implemented across the academy in relation to learning to read through systematic synthetic phonics and creating the conditions for reading for pleasure.
- c. There is clear evidence of improvement in pupil performance:
 - o The percentage of pupils meeting the expected standard at the end of key stage 2 will be in line with or well on track to meeting the LA average by 2024. This was 27% for the school in 2019.

b) Attendance

- a. The overall absence rate will reduce from 5.7% in 2019 to between 5% and 4% by 2024.

c) Financial

- a. The Trust is working towards the implementation of ICFP as agreed between the Academy Trust and the ESFA;
- b. SRMA recommendations implemented as agreed between the Academy Trust and the ESFA;
- c. A recovery plan will be implemented to achieve a balanced budget by 2024-2025 as outlined in the business case.

1.O The Academy Trust shall not be required to transfer out a Higher Risk Catholic Academy to another Catholic academy trust pursuant to clause 1.M if it demonstrates to the Secretary of State's satisfaction that to do so would cause:

- a) the Academy Trust to be in breach of the Articles; or
- b) the Charity Trustees to be in breach of their duties.

- 1.P Notwithstanding any of the provisions of this Agreement, the Secretary of State and the Academy Trust may also agree that an Academy be transferred to another academy trust.

2. RUNNING OF THE ACADEMY

Teachers and staff

- 2.A Subject to clause 2.A.2 and Annex A of this Agreement and section 67 of the Children and Families Act 2014, the Academy Trust may, in accordance with any relevant Guidance, employ anyone it believes is suitably qualified or is otherwise eligible to plan and prepare lessons and courses for pupils, teach pupils, and assess and report on pupils' development, progress and attainment.

2.A.1 Not used.

- 2.A.2 The Academy Trust must designate a staff member at the Academy as responsible for promoting the educational achievement of registered pupils at the Academy who are being looked after by a LA, or are no longer looked after by a LA because of an adoption, special guardianship or child arrangements order, or because they have been adopted from 'state care' outside England and Wales, and in doing so must comply with the law, regulations and Guidance that apply to maintained schools. The Academy Trust must ensure the designated person undertakes appropriate training and has regard to any Guidance.

Pupils

- 2.B The planned capacity of the Academy is 262 and the age range is 3 to 11, [plus nursery provision of [insert] places] and which for the avoidance of doubt includes pupils with designated places pursuant to clause 2.C. For the avoidance of doubt, notwithstanding that an individual applicant's age might be outside the specified age range of the Academy, the Academy is not prevented from considering an application made by the child's Parent(s) in order to comply with the relevant paragraph of the Schools Admissions Code ('Admission of children outside their normal age group'), to request that the child be admitted

to the school outside of the child's normal age group. Where such a request is agreed, the child should be educated in an existing year group. The Academy will be an all ability inclusive mixed sex school.

SEN Unit or Resourced Provision

2.C Not used.

2.D Not used.

Charging

2.E Not used.

2.E.1 Clause 2.16 of the Master Agreement does not prevent the Academy Trust charging fees for nursery provisions outside the Funded Hours.

Admissions

2.F Subject to clauses 2.L and 2.M the Academy Trust will act in accordance with, and will ensure that its Independent Appeal Panel is trained to act in accordance with, the School Admissions Code and School Admission Appeals Code published by the Department for Education (the "Codes") and all relevant admissions law as they apply to foundation and voluntary aided schools, and with equalities law. Reference in the Codes or legislation to "admission authorities" will be deemed to be references to the Academy Trust.

2.G Pupils on roll in a Predecessor School which was a maintained or independent school will transfer automatically to the Academy on opening. All children already offered a place at that Predecessor School must be admitted to the Academy.

2.H The Academy Trust must participate in the local Fair Access Protocol. The Academy Trust must participate in the coordinated admission arrangements operated by the LA in whose area the Academy is situated. If the Academy is a free school, the Academy Trust is not required to participate in coordination for its first intake of pupils.

- 2.I Not used.
- 2.J Not used.
- 2.K Not used.
- 2.L The Secretary of State may:
- a) direct the Academy Trust to admit a named pupil to the Academy:
 - i. following an application from a LA including complying with a school attendance order as defined in section 437 of the Education Act 1996. Before doing so the Secretary of State will consult the Academy Trust; or
 - ii. where in relation to a specific child or children the Academy Trust has failed to act in accordance with the Codes or this Agreement or has otherwise acted unlawfully; or
 - b) direct the Academy Trust to amend its admission arrangements where they do not comply with the Codes or this Agreement, or are otherwise unlawful.
- 2.M The Academy is an Academy designated with a Roman Catholic religious character. The relevant religious authority is the Archbishop of Liverpool.
- 2.N Not used.
- 2.O Not used.
- 2.P The Academy Trust must make arrangements to ensure an independent appeals panel is established for the Academy and its clerk and members are trained to act in accordance with the Codes. The Academy Trust must ensure that parents and 'relevant children' (as described in the Codes) are informed of their right to appeal to an Independent Appeal Panel if they are dissatisfied with an admission decision of the Academy Trust. The arrangements for appeals must comply with the Codes as they apply to foundation and voluntary aided schools. The determination of the Independent Appeal Panel is binding on all

parties.

- 2.P.1 The Academy Trust will treat any decision of an Independent Appeal Panel constituted further to arrangements made by the admission authority of a Predecessor School under section 94 of the School Standards and Framework Act 1998 as binding on the Academy Trust, as though the Academy Trust had made the decision subject to the appeal.
- 2.Q Subject to clause 2.R, the meaning of “**relevant area**” for the purposes of consultation requirements in relation to admission arrangements is that determined by the relevant LA for maintained schools in the area in accordance with the Education (Relevant Areas for Consultation on Admission Arrangements) Regulations 1999.
- 2.R If the Academy does not consider the relevant area determined by the LA for the maintained schools in the area to be appropriate, it must apply to the Secretary of State by 1 August before the academic year in question for a determination of the appropriate relevant area for the Academy, setting out the reasons for this view. The Secretary of State will consult the Academy Trust and the LA in whose area the Academy is situated in reaching a decision.
- 2.S The Office of the Schools Adjudicator (“OSA”) will consider objections to the Academy’s admission arrangements (except objections against any agreed derogations from the provisions of the Codes specified in this Agreement, over which it has no jurisdiction). The Academy Trust must therefore make it clear, when determining the Academy’s admission arrangements, that objections should be submitted to the OSA. The OSA’s determination of an objection is binding on the Academy and the Academy Trust must make appropriate changes to its admission arrangements to give effect to the Adjudicator’s decision within two months of the decision (or by 28 February following the decision, whichever is sooner), unless an alternative timescale is specified by the Adjudicator.
- 2.T Not used.

Curriculum

- 2.U The Academy Trust must provide for the teaching of religious education and a daily act of collective worship at the Academy.
- 2.V The Academy Trust must comply with section 71(1)-(6) and (8) of the School Standards and Framework Act 1998 as if the Academy were a community, foundation or voluntary school, and as if references to "religious education" and "religious worship" in that section were references to the religious education and religious worship provided by the Academy in accordance with clause 2.W.
- 2.W Subject to clause 2.V, **where the Academy is designated with a religious character** (in accordance with section 124B of the School Standards and Framework Act 1998 or further to section 6(8) of the Academies Act 2010):
- a) provision must be made for religious education to be given to all pupils at the Academy in accordance with the tenets of the Academy's specified religion or religious denomination. This is subject to paragraph 4 of Schedule 19 to the School Standards and Framework Act 1998, which applies as if the Academy were a voluntary aided school with a religious character;
 - b) the Academy Trust must comply with section 70(1) of, and Schedule 20 to, the School Standards and Framework Act 1998 as if the Academy were a foundation school with a religious character or a voluntary school, and as if references to "the required collective worship" were references to collective worship in accordance with the tenets and practices of the Academy's specified religion or religious denomination;
 - c) the Academy Trust must ensure that the quality of religious education given to pupils at the Academy and the contents of the Academy's collective worship given in accordance with the tenets and practices of its specific religion or religious denomination are inspected. The inspection must be conducted by a person chosen by the Academy Trust, and the Academy Trust must ensure that the inspection complies with the statutory provisions and regulations which would apply if the Academy were a foundation or voluntary school designated as having a religious character.

2.X Not used.

2.Y Not used.

2.Z The Academy Trust must comply with paragraph 2A of the Schedule to The Education (Independent School Standards) Regulations 2014 in relation to the provision of Relationships Education, Relationships and Sex Education and Health Education.

2.AA The Academy Trust must prevent political indoctrination, and secure the balanced treatment of political issues, in line with the requirements for maintained schools set out in the Education Act 1996, and have regard to any Guidance.

3. GRANT FUNDING

Calculation of GAG

3A-3D. Not used.

3.E The Secretary of State will calculate GAG based on the pupil count at the Academy. In order to calculate GAG for the Academy Financial Year in which the Academy opens, the pupil count will be determined on the same basis as that used by the relevant LA for determining the budget of the maintained Predecessor School.

3.F For Academy Financial Years after that referred to in clause 3.E, the basis of the pupil count for determining GAG will be:

- a) for pupils in Year 11 and below, the Schools Census which is used to fund maintained schools for the financial year overlapping with the Academy Financial Year in question; and
- b) for pupils in Year 12 and above, the formula which is in use at the time for maintained schools.

3.G The Secretary of State may, at his discretion, adjust the basis of the pupil count

to take account of any diseconomies of scale which may affect the Academy if it is operating below the planned capacity in clause 2.B. If such an adjustment is made in any Academy Financial Year, this will not change the basis of the pupil count for calculating the following Academy Financial Year's GAG. If the Secretary of State has indicated that additional grant may be payable in such circumstances, the Academy Trust will bid for this additional grant based on need and providing appropriate supporting evidence. The Secretary of State may accept or refuse the bid at his discretion.

3.H Not used.

3.I The Secretary of State recognises that if a Termination Notice or a Termination Warning Notice is served, or the Master Agreement is otherwise terminated, the intake of new pupils during the notice period may decline and therefore payments based on the number of pupils attending the Academy may be insufficient to meet the Academy's needs. In these circumstances the Secretary of State may pay a larger GAG in the notice period, to enable the Academy to operate effectively.

3.I.1. For the avoidance of doubt, the pupil number count for the purposes of determining GAG excludes nursery provision pupils. Clauses 3.A-3.I must be read with this exclusion in mind.

Other relevant funding

3.J The Academy Trust may apply to the Secretary of State for financial assistance in relation to proposed redundancies at the Academy. In response to such an application, the Secretary of State may at his discretion agree to meet a proportion of the Academy Trust's costs arising from the inclusion of academies in the schedules to the Redundancy Payments (Continuity of Employment in Local Government) (Modification) Order 1999. The Secretary of State may agree to meet the costs of an employee's prior eligible service, being service before the Academy opened, but the Academy Trust must meet the costs of service after the Academy opened. The Secretary of State's financial assistance in this respect will only be available in the first two years after the Academy opens.

- 3.K The Secretary of State may pay the Academy Trust's costs in connection with the transfer of employees from a Predecessor School under the Transfer of Undertakings (Protection of Employment) Regulations 2006. Such payment will be agreed on a case-by-case basis. The Academy Trust must not budget for such a payment unless the Secretary of State confirms in writing that it will be paid.

Carrying forward of funds

- 3.L Any additional grant made in accordance with clause 3.I, for a period after the Secretary of State has served a Termination Notice or a Termination Warning Notice under this Agreement, or otherwise terminates the Master Agreement, may be carried forward without limitation or deduction until the circumstances set out in clause 3.I cease to apply or the Academy closes.

4. LAND

Version 3: existing site to be held under church supplemental agreement or lease from site trustees

If a church supplemental agreement:-

The parties rights and obligations in respect of the Land are set out in the Church Supplemental Agreement dated _____ and made between (1) the Secretary of State; (2) the Academy Trust; (3) Liverpool Roman Catholic Archdiocesan Trustees Incorporated; and (4) the Archbishop of Liverpool. For the purposes of this clause, the Land has the meaning given in the Church Supplemental Agreement.

5. TERMINATION

Termination in relation to special purpose

- 5.1A Subject to clauses 1.J and 5.1B, the Secretary of State may serve a Termination Notice if the Academy Trust fails to transfer a Higher Risk Catholic Academy to an Incoming Academy Trust pursuant to and in accordance with clause 1.M.

- 5.1B Before issuing a Termination Notice under clause 5.1A, the Secretary of State will invite the Academy Trust to make representations as to whether it is not required to transfer out a Higher Risk Catholic Academy by reason of clause 1.O, and the Secretary of State must give due consideration of any such representations.

Termination by either party

- 5.A Either party may give at least seven Academy Financial Years' notice to terminate this Agreement. Such termination would take effect on 31 August of the relevant year.

Termination Warning Notice

- 5.B The Secretary of State may serve a Termination Warning Notice where he considers that:

- a) the Academy Trust has breached the provisions of this Agreement or the Master Agreement; or
- b) the standards of performance of pupils at the Academy are unacceptably low; or
- c) there has been a serious breakdown in the way the Academy is managed or governed; or
- d) the safety of pupils or staff is threatened, including due to breakdown of discipline; or
- e) the Academy is Coasting provided he has notified the Academy Trust that it is Coasting.

- 5.C A Termination Warning Notice served under clause 5.B will specify:

- a) the action the Academy Trust must take;
- b) the date by which the action must be completed; and
- c) the date by which the Academy Trust must make any representations,

or confirm that it agrees to undertake the specified action.

- 5.D The Secretary of State will consider any representations from the Academy Trust which he receives by the date specified in the Termination Warning Notice. The Secretary of State may amend the Termination Warning Notice to specify further action which the Academy Trust must take, and the date by which it must be completed.
- 5.E If the Secretary of State considers that the Academy Trust has not responded to the Termination Warning Notice as specified under clause 5.C(c), or has not completed the action required in the Termination Warning Notice as specified under clauses 5.C(a) and (b) (and any further action specified under clause 5.D) he may serve a Termination Notice.

Termination by the Secretary of State after inspection

- 5.F If the Chief Inspector gives notice to the Academy Trust that:
- a) special measures are required to be taken in relation to the Academy; or
 - b) the Academy requires significant improvement
- the Secretary of State may serve a Termination Warning Notice, specifying the date by which the Academy Trust must make any representations.
- 5.G In deciding whether to give notice of his intention to terminate under clause 5.F, the Secretary of State will have due regard to the overall performance of the Academy Trust.
- 5.G.1 Not used.
- 5.H If the Secretary of State has served a Termination Warning Notice under clause 5.F and:
- a) has not received any representations from the Academy Trust by the date specified in the notice; or
 - b) having considered the representations made by the Academy Trust remains satisfied that this Agreement should be terminated;

he may serve a Termination Notice.

5.I If the Chief Inspector gives a notice referred to in clause 5.F to the Academy Trust within two years after the Academy opened, the Secretary of State may only serve a Termination Warning Notice under clause 5.F if:

- a) the Chief Inspector has held a monitoring inspection under section 8 of the Education Act 2005 later than two years after the Academy opened; and
- b) the Chief Inspector considers that the Academy is not making enough progress towards the removal of the designation referred to in his notice.

Nothing in this clause prevents or prejudices the Secretary of State exercising any other rights arising from or under this Agreement (including, for the avoidance of doubt, any rights under clauses 5.B to 5.E).

Termination by the Secretary of State

5.J If the Secretary of State has determined that the Academy will be removed from the Register of Independent Schools and no appeal against that determination is pending, he may serve a Termination Notice.

5.K Not used.

5.L Not used.

5.M Not used.

5.N Not used.

5.O Not used.

Funding and admission during notice period

5.P If the Secretary of State serves a Termination Notice under clause 5.A, the Academy Trust may continue during the notice period to admit pupils to the Academy, and to receive GAG and EAG, in accordance with this Agreement.

- 5.Q If the Secretary of State serves a Termination Warning Notice or a Termination Notice otherwise than under clause 5.A, the Academy Trust may continue during the notice period to admit pupils to the Academy (unless the Secretary of State specifies otherwise), and to receive GAG and EAG, in accordance with this Agreement.

Notice of intention to terminate by Academy Trust

- 5.R The Secretary of State will, before the start of each Academy Financial Year, provide the Academy Trust with a final funding allocation indicating the level of GAG and EAG to be provided in the next Academy Financial Year (the **"Funding Allocation"**).
- 5.S If the Academy Trust is of the opinion that, after receipt of the Funding Allocation for the next Academy Financial Year (the **"Critical Year"**) and after taking into account all other resources likely to be available to the Academy, including other funds that are likely to be available to the Academy from other academies operated by the Academy Trust (**"All Other Resources"**), it is likely that the cost of running the Academy during the Critical Year would cause the Academy Trust to become insolvent (and for this reason only) then the Academy Trust may give written notice of its intention to terminate this Agreement on 31 August before the Critical Year.
- 5.T Any notice given by the Academy Trust under clause 5.S must be provided to the Secretary of State within six weeks of the Secretary of State issuing the Funding Allocation. The notice given by the Academy Trust under clause 5.S must specify:
- a) the grounds upon which the Academy Trust's opinion is based, including:
 - i. evidence of those grounds;
 - ii. any professional accounting advice the Academy Trust has received;
 - iii. a detailed statement of steps which the Academy Trust proposes to take to ensure that the running costs of the Academy are reduced

such that costs are less than the Funding Allocation and All Other Resources, and the period of time within which such steps will be taken; and

- b) the shortfall in the Critical Year between the Funding Allocation and All Other Resources expected to be available to the Academy Trust to run the Academy and the projected expenditure on the Academy; and
- c) a detailed budget of income and expenditure for the Academy during the Critical Year (the "**Projected Budget**").

5.U Both parties will use their best endeavours to agree whether or not the cost of running the Academy during the Critical Year would cause the Academy Trust to become insolvent. Both parties recognise that they will need to engage in a constructive dialogue at the time about how best to provide education for the pupils at the Academy and use their best endeavours to agree a practical solution to the problem.

5.V If no agreement is reached by 30 April (or another date if agreed between the parties) as to whether the cost of running the Academy during the Critical Year would cause the Academy Trust to become insolvent, then that question will be referred to an independent expert (the "**Expert**") for resolution. The Expert's determination will be final and binding on both parties. The Expert will be requested to specify in his determination the amount of the shortfall in funding (the "**Shortfall**").

5.W The Expert will be an insolvency practitioner with significant professional experience of educational institutions or academies. If the parties fail to agree upon the appointment of the Expert then the Expert will be appointed by the President of the Institute of Chartered Accountants in England and Wales. The Expert's fees will be borne equally between the parties.

5.X The Expert will be required in reaching his determination to take account of advice from an educational specialist who is professionally familiar with the issues arising from the budget management of schools. If the parties fail to agree upon the appointment of the educational specialist then the educational

specialist will be appointed by the Chairman of the Specialist Schools and Academies Trust (or any successor or equivalent body). The educational specialist's fees will be borne equally between the parties.

- 5.Y If the Expert determines that the cost of running the Academy during the Critical Year would cause the Academy Trust to become insolvent, and the Secretary of State will not have agreed to provide sufficient additional funding to cover the Shortfall, then the Academy Trust will be entitled to terminate this Agreement, by notice expiring on 31 August before the Critical Year. Any such notice will be given within 21 days after (a) the Expert's determination will have been given to the parties or (b), if later, the Secretary of State will have given written notice of his refusal to provide sufficient additional funding for the Academy to cover the Shortfall.

Effect of termination

- 5.Z If this Agreement is terminated, the Academy will cease to be an Academy within the meaning of sections 1 and 1A of the Academies Act 2010.
- 5.AA Subject to clauses 5.BB and 5.CC, if the Secretary of State terminates this Agreement under clause 5.A, he will indemnify the Academy Trust. If the Secretary of State terminates this Agreement otherwise than under clause 5.A, he may at his discretion indemnify or compensate the Academy Trust.
- 5.BB The amount of any such indemnity or compensation will be determined by the Secretary of State, having regard to representations made to him by the Academy Trust, and will be paid as and when the Secretary of State considers appropriate.
- 5.CC The categories of expenditure incurred by the Academy Trust in consequence of termination, for which the Secretary of State may indemnify the Academy Trust under clauses 5.AA, may include:
- a) staff compensation and redundancy payments;
 - b) compensation payments in respect of broken contracts;

- c) expenses of disposing of assets or adapting them for other purposes;
- d) legal and other professional fees; and
- e) dissolution expenses.

5.DD If this Agreement is terminated, and the Academy Trust owns capital assets which have been partly or wholly funded by HM Government, the Academy Trust must, as soon as possible after the termination date:

- a) transfer a proportion of those capital assets, equal to the proportion of the original financial contribution made by HM Government, to a nominee of the Secretary of State to use for educational purposes; or
- b) if the Secretary of State directs that a transfer under clause 5.DD(a) is not required, pay to the Secretary of State at the termination date (or, by agreement with the Secretary of State, at the date of their subsequent disposal) a sum equivalent to the proportion of the original financial contribution made by HM Government.

5.EE The Secretary of State may:

- a) waive all or part of the repayment due under sub-clause 5.DD(b) if the Academy Trust obtains his permission to invest the sale proceeds for its charitable purposes; or
- b) direct the Academy Trust to pay all or part of the sale proceeds to the relevant LA.

6. OTHER CONTRACTUAL ARRANGEMENTS

Annexes

6.A Any annexes to this Agreement form part of and are incorporated into this Agreement.

The Master Agreement

6.B Except as expressly provided in this Agreement, all provisions of the Master

Agreement have full force and effect.

General

- 6.C The Academy Trust cannot assign this Agreement or novate the terms of this Agreement without the prior written consent of the Secretary of State. Such consent not to be withheld if the novation has been consented to or required pursuant to the Master Agreement.
- 6.D Failure to exercise, or a delay in exercising, any right or remedy of the Secretary of State under this Agreement (including the right to terminate this Agreement), or a single or partial exercise of such a right or remedy, is not a waiver of, and does not prevent or restrict any initial or further exercise of, that or any other right or remedy.
- 6.E Termination of this Agreement will not affect the accrued rights, remedies, obligations or liabilities of the parties existing at termination.
- 6.F This Agreement may be executed in any number of counterparts, each of which when executed and delivered shall constitute a duplicate original, but all of which will together constitute the same agreement.
- 6.G 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, and submitted to the exclusive jurisdiction of the courts of England and Wales.
- 6.H The Secretary of State agrees that this Agreement shall be interpreted in a way which is compatible with the provisions of clauses 20-20F and 23A-G (if used) of the Church Supplemental Agreement dated _____ and made between (1) the Secretary of State; (2) the Academy Trust; (3) Liverpool Roman Catholic Archdiocesan Trustees Incorporated; and (4) the Archbishop of Liverpool.

Information Sharing with Local Authorities – Statutory Responsibilities

6.1 The Academy Trust must provide:

- a) the name, address and date of birth of the pupil or student;**
- b) the name and address of a parent of the pupil or student;**
- c) information in the institution's possession about the pupil or student (except if the pupil or student concerned (in the case of a pupil or student who has attained the age of 16) or a parent of the pupil or student concerned (in the case of a pupil or student who has not attained the age of 16) has instructed the Academy Trust not to provide information of that kind);**

upon request under section 14 of the Education and Skills Act 2008 from a local authority (for the purpose of enabling or assisting it to exercise its functions under Part 1 of that Act); or

upon request under section 72 of that Act from a body providing services under sections 68 or 70(1)(b) of the Act (for the purposes of providing such services).

This Agreement was executed as a Deed on 31st March 2022

Executed on behalf of **St Joseph Catholic Multi Academy Trust** by:

A Connors

and

M.S. Minnion

.....
Director

.....
Director

or

.....
Company Secretary

The Corporate Seal of

THE SECRETARY OF STATE FOR EDUCATION

affixed to this deed is authenticated by:



[Signature]

Duly Authorised

ANNEXES

Annex A

ADMISSION OF CHILDREN AND YOUNG PEOPLE WITH EDUCATION, HEALTH AND CARE PLANS

“EHC Plan” means an education, health and care plan made under section 37 of the Children and Families Act 2014.

The Children and Families Act 2014 imposes duties directly on Academies in respect of pupils with SEN, including the admission of pupils with EHC plans. If an Academy Trust considers that a LA should not have named the Academy in an EHC plan, it may ask the Secretary of State to determine whether the LA has acted unreasonably, and to make an order directing the LA to reconsider. The Academy Trust must admit the pupil if such a determination is pending. The Secretary of State’s determination as to whether the LA acted unreasonably will be final, subject to any right of appeal which a pupil (who is over compulsory school age) or parent of the pupil may have to the First-tier Tribunal (Special Educational Needs and Disability) or the Upper Tribunal Administrative Appeals Chamber.

**SCHEDULE – REQUIREMENTS OF THE DEED OF NOVATION AND VARIATION
OF THE SUPPLEMENTAL AGREEMENT**

The amendments to the Agreement shall include (but not be limited to):

- an update to clause 1.A to change reference from the Company's MFA to the new IAT master funding agreement;
- Clause 1.F to be updated as the Academy will no longer be a designated Higher Risk Catholic Academy (also cross reference numbering to the MFA to be updated);
- Clause 1.C to be updated to remove definitions relating to Special Provisions and the Pilot ('Special Provisions' and Supplemental Special Provisions in clauses 1J – 1P and 5.1A – 5.1B to be removed);
- Clause 6.C to revert to model form no assignment drafting.



Department
for Education

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