



CAA Governance Plan & Handbook

JANUARY 2022

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- Appendix A: Full Governing Board – Terms of Reference
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Link Documents: *to be read in conjunction with this document*

- Governing Body and Committee structure
- Members' and Trustees' pen portraits
- Skills Audit
- Governance Calendar of Work
- Governance Monitoring Plan

Key Reference Documents:

- DfE Governance Handbook and Competency Framework
- Academy Trust Handbook
- Seven Principles of Public Life
- New Schools Network: Governance in Free Schools
- Memorandum and Articles of Association for Cumbria Academy for Autism
- CAA Funding Agreement
- Keeping Children Safe in Education 2021
- Twenty Key Questions for the Governing Board to Ask Itself

REVIEW SHEET

The information in the table below provides details of the earlier versions of this document and brief details of reviews and, where appropriate amendments which have been made to later versions.

Version Number	Version Description	Date of Revision
1	Original	May 2019
2	4.2.1 Amended – trustee membership FRC to include audit and risk Amended training plan Amended dates 4.3 Updated clerk 5.2 Updated to reflect academy as open Added in AIP 5.5.2 Added related party forms 5.6.1 Changed to KCSIE 2020 Changed to CSCP from LSCB (throughout document) 6.4 Updated to reflect academy as open 7.1 Updated to reflect academy as open Section 8 removed Appendix (i) updated to reflect new trustees Pen Portraits replaced for retired trustees with new trustee information Appendix (iv) terms of reference (programme of internal scrutiny and risk inserted) Appendix (iv) Part 8 – Internal Scrutiny added Appendix (v) Calendar updated to reflect AIP Internal Scrutiny report added to termly FRC agenda	November 2020
3	Amended wording to reflect current phase of opening. Updated 'trustees' to 'trustees' and 'Governing Body' to 'Board of Trustees' in accordance with AFH 3.5 Training Plan updated <i>Revised Skills Audit – ongoing</i> <i>Pen Portraits - ongoing</i>	June 2021
4	Amended to reflect 'Academies Financial Handbook' changed to 'Academy Trust Handbook'. Amended to reflect change in trustees. Updated to KCSIE 2021	Nov 2021

	Appendices moved to separate documents (pen portraits, schedule of work, skills audit and FGB structure)	
5	References to pre-opening removed. Trustee details updated to reflect changes to board composition.	Jan 2022

1. Introduction and Vision

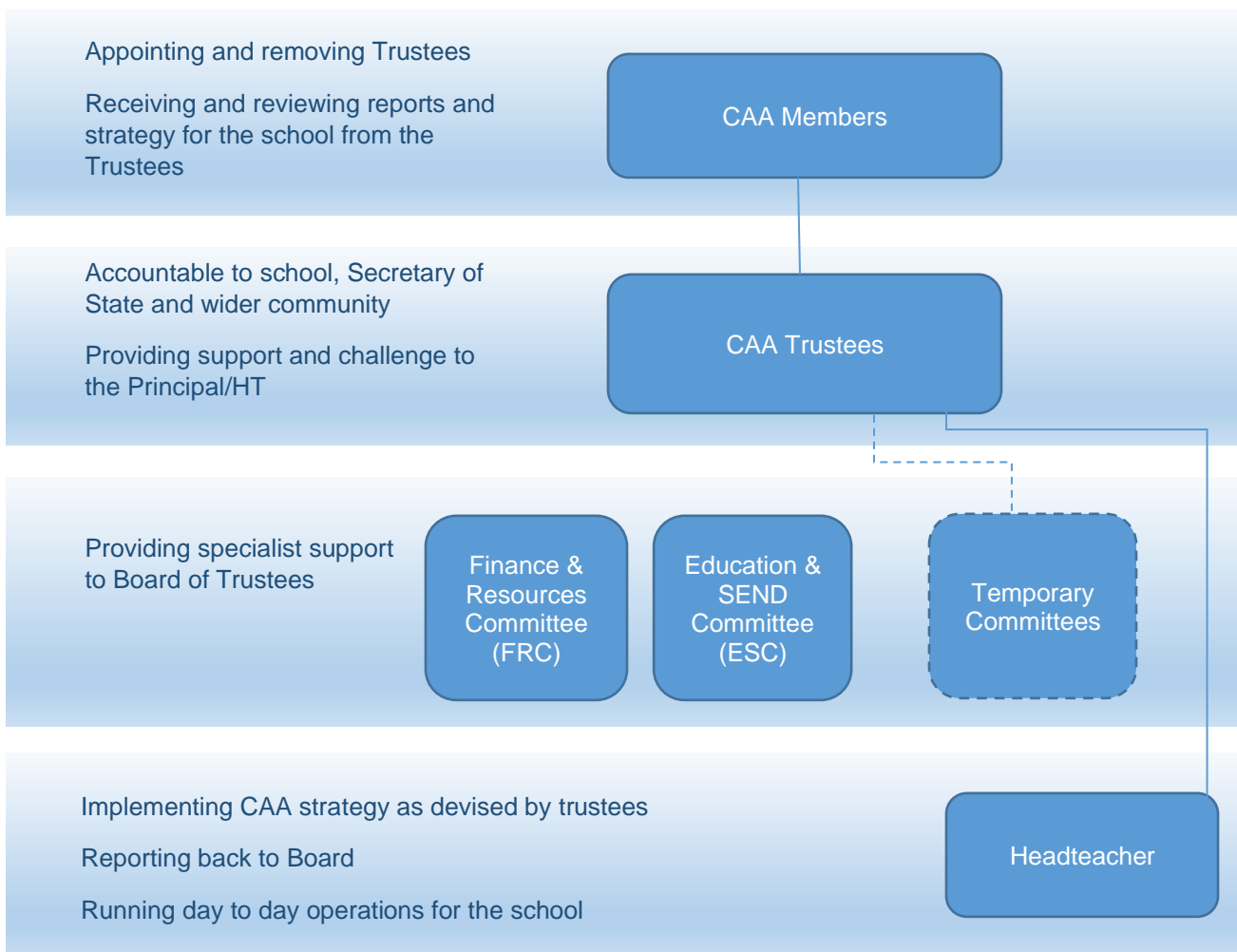
1.1 Introduction to the Governance Plan

The Governance Plan sets out:

- The vision for Cumbria Academy for Autism (herein referred to as CAA);
- The structure and operational procedures of the Members, Board of Trustees and committees;
- Processes for strategic planning for developing the school;
- Processes for securing accountability.

The Trust's constitution and framework for governance arrangements are set out in the Memorandum and Articles of Association for CAA, as recommended for academies.

The diagram below, sets out the key roles and responsibilities at each level of governance.



The Cumbria Academy for Autism Trust is passionate about creating life changing opportunities for students. Our aim is to be an autism accredited, Ofsted outstanding-rated, Centre of Excellence for Autism, in West Cumbria.

Additionally, we have a broader shared vision for improving education in West Cumbria and are determined to improve Autism provision beyond our school walls and it is this which underpins our centre of excellence ambitions.

We reflect this vision in our mission statement:

“To provide children and young people with autism in the Cumbria, the opportunity to reach their full potential in life by preparing them for adulthood, so they may lead fulfilled, happy and purposeful lives.”

1.2.2 Core Values

Our values strongly underpin our vision, as they hold ‘AUTISM’ at the very core of the school; they ensure our students are always central to every decision we make and everything that we do:

Ambition

- For every student, every member of staff and for the school;
- Believing each individual with autism has the opportunity to make a positive difference in this world;
- Setting challenging goals for students, staff and the school to ensure continuous progress;
- To offer a wide range of academic and ‘life-skills’ qualifications available to our students reflecting the differing needs of our diverse cohort.

Understanding

- Recognising everyone needs compassion, empathy and patience, promoting tolerance and acceptance.

Tenacity

- To be determined and resilient in character;
- We will expect this of our staff and develop this in our students.

Inspiration

- Being a positive and empowering school that encourages and celebrates success in all individuals and respectfully promotes autism in the wider community;

- To be a 'centre of excellence' where knowledge and learning is disseminated throughout the locality, with satellites for learning and sharing knowledge, ultimately improving the lives of those with autism.

Support

- For our students, their families, our staff and our community;
- Forging links with local schools, academies, colleges and organisations to share knowledge, resources and information with mutual benefit;
- To work closely with our students to ensure all outcomes are in line with their aspirations for the future, whilst supporting their transitions into adulthood

Morality

- Creating respectful, honest students with strong British values, to enable them to become respectable adults and good citizens.

1.2.3 Key Objectives

We have prioritised 6 key objectives which are informed by our values. These are central to the life of the school and the successful delivery of our vision:-

Personalised education: We will create life changing opportunities by providing individualised learning experiences for each of our students. Each young person with autism has unique needs, consequently requiring tailored approaches to learning. Therefore, our highly personalised support plans will use teaching methods and interventions specific to the individuals' needs to ensure learning is relevant and effective.

Purposeful learning: Whilst working towards nationally recognised qualifications, such as GCSE's and ASDANs, additionally life skills will form an integral part of all learning. This provides our students with real life experiences to promote future independence, thus enabling choice and control over decisions about their lives. Work placements, travel training and an in-house life-skills apartment are some examples of how we will achieve this objective.

Excellent teaching: Our qualified, experienced and dedicated Teachers and Support Staff will deliver a bespoke package of education enabling our students to develop and thrive. An academic led approach will be supplemented by a team of professionals and therapists, to advise teaching staff, plan intervention and inform learning. This will enable us to deliver learning strategies which meet the needs of our students, who will present with extremely uneven profiles of ability.

Teaching groups of no more than 8 with high staff to student ratios (1 Qualified Teacher, 1 HLTA & STA), will provide an essential supportive learning environment to ensure academic progress is achieved alongside the development of essential life skills.

Enhanced learning environment: We recognise that the physical environment is paramount to removing barriers to learning. The vast majority of children with EHCPs in Cumbria are educated in mainstream (circa 72%), where the setting is often overwhelming and impacts on their ability to successfully function at school, over and beyond their own areas of difficulty. We will therefore offer an enriched autism-friendly learning environment through a combination of exceptional facilities at the Academy alongside the unique outdoor experiences Cumbria has to offer.

Consistency of approach: We will work very closely with families providing training, workshops, support groups and advice so that our students receive consistency in all areas of their lives, bridging the gap between home and school. The decision to create an all-through provision will also allow for consistency in so much as it removes the often difficult and disruptive transitions across key stages 1 to 5. The school can then focus on preparing students for a successful transition into adult life.

High expectations: We have high levels of aspiration for every student both academically and socially. This extends beyond those children who will attend the school. CAA will become a “centre of excellence” where knowledge and learning is disseminated to the broader teaching community, throughout the locality, to improve the lives of children beyond the boundaries of our school gates. We will forge close links with schools, businesses and local projects through a variety of supported work and training placements that will not only promote inclusion of our young people in society but will also enable their achievements to be recognised and celebrated within their community. Many children with autism experience mental health problems such as anxiety and high levels of depression and through this approach we will develop high self-esteem in our students.

2. The CAA Members

2.1 Composition of the CAA Trust

We recognise that the 'Academy Trust Handbook' recommends at least 5 members in total. A decision to have five members also ensures that members can take decisions via special resolution without requiring unanimity and facilitates the majority decision being taken by ordinary resolution, where a majority of members are required to agree.

The CAA Trust is therefore comprised of 5 members: Lynne Thornton, Lin Atrill, Gillian Hartley, Sean Day and Gary Tomlinson.

2.2 Roles and responsibilities of the Members

The Members will be responsible for the appointment of the Trustees. They will consider the needs of the Trust and the skills and expertise that are required by the Board of Trustees to fulfil its functions effectively. A skills audit of the current Board is documented in Appendix (iii). This will be reviewed annually each school year.

The Members will oversee the financial management of the Trust, being responsible to the Secretary of State for Education for the school's effectiveness in providing value for money. Members will receive a finance report three times a year, will agree the final accounts and will appoint the auditors annually.

2.2.1 The primary duties of the CAA Members

- Compliance with relevant section of the Company Act 2006 and related statutes;
- Establishing and running a school which provides a broad balanced yet bespoke curriculum, subsequently advancing education;
- Co-operating with other academies, maintained schools and statutory bodies;
- Researching new techniques in education and publishing the results;
- Holding the assets of the Academy;
- Holding the Governing Body to account;
- Amending the Articles as required.

The CAA Academy Trust has a strategic role in ensuring the success of the school and driving improvement. The Trust will ensure plans are in place for each academic year to monitor and evaluate performance of the School and its trustees.

2.2.2 The CAA Members Calendar

The calendar will provide for:

- An Annual General Meeting;
- Finance items as agreed with the Business Manager;
- Asset Management plan review;

Those members who are not Trustees would be expected to visit the school at least annually.

2.2.3 Holding the Governing Body to account

The Trust will use a variety of information including audited accounts, school performance statistics and the register of interests, to monitor the performance of the trustees and ensure they are managing the academies affairs effectively and in line with the members' responsibilities of compliance, duty of prudence and duty of care.

The audited accounts will, for example, enable members to monitor the solvency of the Academy, identify a significant surplus/deficit of cash at CAA and ensure that, where required, trustees are taking appropriate action to address the situation and have a clear plan of action to resolve the situation. If they find the trustees are not acting appropriately or do not have a considered, viable plan for the members to resolve the academies financial affairs they can take action to remove the trustees(s).

Where members find a trustee has not acted in the interests of the Academy or members are not satisfied with the management of the academy's affairs, then they can seek, by majority vote, to dismiss that trustee 'or trustees as they see fit. New trustees will then be appointed to fulfil the vacant positions.

2.3 Conflicts of Interest

A conflict of interest's register is in place to ensure no conflict of interests between Members and Trustees and the school. When the funding agreement has been signed, the register will be maintained by the Clerk to the Trustees and will be published on the school website. The first item on the Board agenda will always be to ask for any conflicts of interest relating to the matters to be discussed at the meeting. The person concerned would then be asked to leave the meeting while that item is discussed.

The Trust will expect the Trustees to commission an external review of governance on an annual basis. Trustees will carry out an annual skills audit as part of their self-evaluation and incorporate their own development objectives into the Academy Improvement Plan. The aim of the self-evaluation process is to identify how trustee skills, expertise and experience are having a positive impact on the development of the school and holding it to account for its performance. The outcomes of the annual trustee self-evaluation will be reported to the Trust in July each year.

3. The Board of Trustees

3.1 The Board Structure

CAAs constitution provides scope for a maximum of 12 trustees to be in post at any one time. We will recruit trustees in line with anticipated skills gaps. Members will seek to appoint parent trustees with skills to fill gaps in the skills profile of the governing body. Our plans are for our board of trustees to consist of 12 individuals as follows:-

- Chair;
- 2 Parent Trustees;
- Headteacher (ex-officio Trustee);
- alongside eight additional Trustees.

3.2 Roles and Responsibilities of CAA Trustees

At this level of the governance structure, these individuals will fulfil three specific statutory roles, as follows:-

- **As a Trustee** – In line with CAAs charitable status they will serve to ensure compliance, duty of care and duty of prudence;
- **As a Director** – CAA is a Company Limited by Guarantee and as such the trustees will act in line with company's constitution, promote the success of CAA, exercise independent judgement, care, skill and diligence. They will avoid conflicts of interest and not accept benefits from third parties;
- **As a Trustee** – They will ensure clarity of the vision, ethos and strategic direction of the school. They will hold the Headteacher to account for educational performance of the school and its pupils and will oversee the financial performance of the school to ensure money is well spent.

3.2.1 Primary duties of CAA Trustees

The primary duties of the CAA Board will include:

- Ensuring the quality of educational provision, autism provision and the achievement of successful, purposeful transitions into adulthood for academy students;
- Challenging and monitoring the performance of the academy;
- Managing the academy trust's finances and property;
- Employing staff;
- Setting the admissions policy in accordance with the DfE's Admissions Code and setting up an admissions appeals committee;
- Observing the law on exclusions as though they were a maintained school;
- Responsibility for setting pay for staff;
- Reporting to the CAA Trust.

3.2.2 The CAA Governing Body Calendar

The CAA Governing Body Calendar will provide for:

- An AGM will be held in the Autumn Term. There will be no more than 15 months between AGMs;
- The Board of Trustees will meet on a termly basis, with a minimum of three meetings per year, additionally there will be 6 committee meetings per year;
- Finance items as agreed with the Business Manager/Finance Officer;
- Other regular items from the school's agenda e.g. residential visits;
- Submission of reports to the Trust;
- Policy Approvals.

3.2.3 Holding the Headteacher to Account

It is vital that all trustees recognise the lines of accountability between themselves and the Head. The Chair especially will need to support the Head, however, must recognise that they are there to provide scrutiny and challenge with the overriding aim of continuously improving school performance.

At CAA the Board will monitor performance to understand:

- Attainment of pupils across key groups in terms of highest and lowest performance, addressing underperformance by considering the schools own performance data against national performance outcomes for children of similar ability and SEN profile;
- How successful autism provision is at CAA in terms of its Autism Accreditation award being maintained and developed;
- The quality of teaching across the school by reviewing DfE performance tables for CAA against comparative schools and the new service 'Analyse School Performance' to assess school performance;
- How to raise standards for all CYP with autism at CAA;
- The financial performance of CAA through scrutiny and analysis of all financial data including budgets, accounts and forecasts (internal data) and also use national (external data) figures on schools to assess how CAA spends its money (£ per pupil) i.e. value for money for the school budget;
- Whether the school is achieving its ethos of supporting and caring for all students. This will be monitored through data and figures on attendance, behaviour and bullying at CAA;
- How parents and carers feel about CAA by requesting feedback forms;
- Whether CAA is successfully implementing policies through trustee visits to the school.

Understanding these areas will enable the Board to challenge the Headteacher and ensure accountability.

Two trustees will be involved in the Headteacher's performance management, which will be led by an external consultant, where possible. The reports will be fed back at full trustee meetings.

3.3 Trustee Skills and Attributes

When appointing trustees, Members will seek to fill these posts with people who live in the local area where possible whilst having regard for the balance of skills and experience that the Trust Board needs to fulfil its functions. It is aimed to include the following skills/experience:

- Education: experience of secondary education; understanding of current education policy, the Ofsted framework and school performance indicators;
- Financial expertise and commercial experience;
- Safeguarding;
- Ability to analyse school data, ask questions and hold to account;
- Legal expertise;
- Community engagement/community cohesion;
- School governance;
- Premises management;
- Strategic planning;
- Human resources management, including performance appraisal;
- Marketing.

A skills audit will be carried out on an annual basis to review the skills, knowledge and experience of the current Trust Board and to identify gaps in skills to enable planning for future recruitment. Where trustees need to develop skills, this will be addressed through training and mentoring.

A well-managed Trustee recruitment process is paramount to the appointment of successful trustees for the school. Recognising the need for a highly skilled and experienced board, we will undertake targeted recruitment in line with identified skills gaps. Wherever possible positions will be filled to complete the required skills set of the Trust Board as a whole.

The role of a trustee at CAA, particularly with Academy Status, brings significant workload and CAA recognise the additional duties and responsibilities of being outside of local authority control for example, admissions, appeals, finance and accounting, HR & Estates Management. This is reflected in the specific roles we have created for the governing body and the intention to establish committees to ensure CAAs legal, statutory and moral requirements as an education establishment are fully met.

We feel it is particularly important for our trustees to have autism awareness training. This will be provided in addition to a formal induction programme and an ongoing programme of training (Section 3.5).

3.4 Current Trustees

There are currently six trustees appointed, as follows:-

- Lynne Thornton (Chair and Founding Member*)
- Robin Lacey (Vice Chair and Trustee)
- Dan Bowman (Trustee)
- Andrew Wallam (Trustee)
- Laura Watson (Trustee)
- John Moffat (Trustee)

Lynne Thornton will serve as both a Member of the Trust and Chair of Trustees.

3.5 Trustee Training

The Clerk will update the Trustees regarding opportunities for relevant training in line with any skills gaps or refresher training identified from the skills audit.

Course	Attendees	Provisional Provider	Date
New trustee Induction Training	All trustees new to the role	Internal & Cumbria County Council	Within 6 months of appointment
Financial reporting for academies and free schools	Finance and resources committee trustees; Accounting Officer; Chair of Trustees	Armstrong and Watson	Ongoing (2 sessions complete)
Headteacher Performance Management	Dan Bowman and Robin Lacey	Cumbria County Council	Ongoing
Leading Governance	Chair	Cumbria County Council	Complete
Clerk training	Clerk to GB	Cumbria County Council	Ongoing (Professional external clerk appointed)
Safeguarding training + briefing on KCSIE 1,2,3	All trustees	National College for Learning	Annual online training

		SafeHaven Consulting	On site Level 1 training 29 th November 2021 - complete
Pupil Premium	Trustee responsible for pupil premium pupils	Cumbria County Council or National Trustees Association	Ongoing
Understanding school performance data	Trustees on Education and SEND committee	Cumbria County Council Internal (bespoke systems training)	Internal training ongoing. First instalment delivered.
SEND/Inclusion training	Chair and Trustee with responsibility for SEND	Cumbria County Council	Chair training completed SEND Trustee - ongoing
Autism Awareness NVQ Level 2	All trustees	New Skills Network	Ongoing (3 completed)
Effective governance	Refresher for trustees with previous experience of school governance	Cumbria County Council	TBC
Preparing for Ofsted	All trustees	National Leader of Governance	Completed September 2021

In addition to the Preparation for Ofsted training, the Chair of Trustees will ensure that they are fully up to date with the latest Ofsted framework and requirements, and that they can provide clear guidance to trustees with specific responsibilities e.g. Pupil Premium, SEND, Prevent, Safeguarding.

4. Trustee Board Structure

4.1 Meeting Structure

The Trust Board will meet three times a year, normally once every term. Minutes of meeting will be sent to the Members.

4.2 Committees

Committees will carry out the delegated roles of the Trust Board. The committees will ensure that the school is performing effectively in all areas in accordance with its targets and vision. The Trust Board will delegate decision-making powers to committees, but the Board will always retain overall accountability.

Every trustee will sit on at least one of the committees and every trustee will take a lead and/or provide a link in one or more areas e.g. Pupil Premium, SEND/Autism, Curriculum, Safeguarding, Equality, Health & Safety, Premises/Site, Finance, Communications, Ethos, HR etc.

Current arrangements are as follows:

- Lynne Thornton (Chair of Trustees, Chair of FRC, Pupil Premium, Wellbeing, SEND)
- Robin Lacey (Vice Chair, Chair of ESC, Curriculum, Safeguarding)
- Dan Bowman (Health, Safety and Premises)
- Andrew Wallam (Post 16)
- Laura Watson (Responsible Officer)
- John Moffat

4.2.1 Finance & Resources Committee (FRC)

The remit of this committee will include finance, site, staffing and health & safety. It will also incorporate the Audit and Risk committee.

This committee will work with the Headteacher, as Accounting Officer, and the business manager, as Chief Financial Officer, to ensure that financial decisions enable the school to provide value for money and to ensure that processes are compliant with The Academy Trust Handbook, as follows:-

- Appoint a lead trustee for finance with a professional experience of compliance, modelling and budgeting;
- Follow the Financial Scheme of Delegation;
- Provide training for all members of the FRC;
- Propose to members external auditors, with experience of academy finances;

- Receive termly reports from the School Business Manager to the FRC. Initial review and recommendation to the Governing Body of the annual budget;
- Ensure all priorities in the academy improvement plan are costed and reflected in the budget;
- Set out the budget in a standard format, which allows transparent benchmarking against other schools and easy monitoring, for example, the use of Pupil Premium funding;
- Regular monitoring of actual expenditure and income against budget;
- Ensuring the annual accounts are produced in accordance with the requirements of the Companies Act 1985 and the DfE guidance issued to academies;
- Appoint auditors for the accounts;
- Agree and carry out a programme of internal scrutiny, delivered by an external scrutineer. Reports should be fed back to the FRC 'Audit and Risk' for consideration by trustees. The programme should be informed by the Risk Management Process and the process should be iterative;
- Authorising the award of contracts up to the amount stated in the Scheme of Delegation;
- Monitor the effectiveness of the staffing structure in terms of supporting best outcomes for pupils;
- Reviewing the reports of the Responsible Officer on the effectiveness of the financial procedures and controls. These reports must also be reported to the Governing Body;
- To review the financial policies of the Trust, subsequent to any amendment to the Academy Trust Handbook and where necessary make recommendations to the Governing Body.

The whole Trust Board will be responsible for approving the budget and the FRC will provide financial reports to the Trust, three times a year.

The FRC will also contribute to the recruitment process for new staff and support the Headteacher in dealing with HR issues as they arise.

It will make decisions about the development of the school premises to ensure that the learning environment is safe and appropriate for pupils. It will have overall responsibility for Health and Safety.

The committee will be responsible for ensuring compliance with The Charity Commission and Company Law.

All trustees will be expected to have read the Academy Trust Handbook.

4.2.2 Education and SEND Committee (ESC)

The remit of this committee will include curriculum, attainment and progress, Autism, SEND and Inclusion, Safeguarding and Behaviour.

The committee will work with school leadership on the development of the curriculum, ensuring the implementation of the plans as the school expands.

The committee will ensure the quality of education provision as follows:

- Termly comprehensive monitoring of data, including progress and attainment by cohort and groups (including by ability, ethnic background, EAL, gender, Pupil Premium, SEND); punctuality and attendance. Trustees will closely monitor the attainment gap between disadvantaged and advantaged pupils;
- Ensuring educational priorities are reflected in the Academy Improvement Plan and monitored termly;
- Visiting the school at least termly in the 'link' trustee capacity to help review the impact of initiatives and school policies and to support ongoing development of the curriculum and the learning environment as the school expands;
- Undertaking learning walks with the Headteacher or a senior member of staff;
- Receive termly reports from the Headteacher on the quality of teaching and learning in the school.

The ESC will triangulate information from school data, reports from independent and external moderations and inspections and observations from school visits and monitor progress against targets to enable its contribution to the school self-evaluation process.

One trustee on this committee will have specific responsibility for SEND pupils to ensure that individual pupils are making good progress and that delegated SEN funding is being used cost effectively to secure best outcomes (see Section 5.6).

One trustee on this committee will have specific responsibility for Pupil Premium pupils to ensure that delegated funding is being used appropriately to improve outcomes and close the gap between disadvantaged and advantaged pupils (refer to Section 5.6).

The committee will ensure that all safeguarding procedures are up to date and compliant with national requirements (refer to Section 5.6).

It will report to the full Board and ensure that necessary steps are taken to ensure improvement, if underperformance or under-achievement is identified. Committee minutes and reports will be presented to the CAA Trust termly.

4.2.3 Ad-hoc Trustee Committees/Panels

There will be an ad-hoc *Exclusions Panel*, *Complaints Panel* and *Staff Disciplinary and Grievance Panel*.

4.2.4 Delegation of Authority and Terms of Reference

Delegation of Authority to Committees and individual Trustees

At the first Board meeting of each academic year, Trustees will agree the Terms of Reference of each committee, and trustee lead roles and responsibilities for the year.

Terms of Reference - Appendix (iv)

The terms of reference set out the following:-

- The role of the Trust Board / committee / panel / working group
- Membership
- Voting rights
- Appointment of Chair and Vice-chair
- Individual responsibilities
- Delegated decision-making rights
- Powers of delegation
- Frequency of meetings
- Quorum
- Clerking arrangements

The committees will have agreed delegated powers to make decisions on behalf of the Trust Board but will be required to report back to the full Board in order to keep all Trustees fully informed, and to have decisions formally endorsed. The Board retains overall accountability for the performance of the school.

4.2.5 Committee composition

The membership of the committees will include members of the Trust Board, co-opted trustees and others who would be able to contribute to the work of the committee. The Trustees will always be in the majority on the committee. Only trustees and co-opted trustees will be able to vote on any decisions.

4.3 Clerking arrangements

A professional external Clerk to the Trust, Kimberley Ward, was appointed in Spring term 2021. The Clerk advises on legal responsibilities and compliance when necessary.

5. Fulfilling the Core Functions

5.1 Core Functions

The Board will focus on three core strategic functions:

- **Ensuring clarity of vision, ethos and strategic direction;**
- **Holding the Headteacher to account for the educational performance of the school and its pupils;**
- **Overseeing the financial performance of the school and making sure its money is well spent.**

The Board needs to be strategic in function, providing overall leadership for the school without being involved in the day today management. Trustees are expected to hold the school to account for its performance and be accountable to the Trust.

5.2 Developing the School

Trustees will work with the Headteacher to determine the key priorities for establishing and developing CAA for the first four years until 'steady state' is reached. These will be based on the strategic objectives in the Education Brief. The ESC will set targets pupils, which will be endorsed by the Board.

Key performance indicators and targets will be set for each year of operation, and longer-term targets relating to pupil progress and attainment will be agreed by the ESC and detailed in the Education Brief. These will be based on benchmarking against local and similar schools, and on national data and expectations.

The ESC will also be involved in determining academic priorities for the school and setting education targets for future years. This process will be driven by internal assessment data indicating attainment and progress, the results of national tests and assessments, and published hard data as in Analyse School Performance. When determining the strategic direction of the school, Trustees will also take into account 'soft' data i.e.

- The Headteacher's reports on the quality of teaching (lesson observations, learning walks, work scrutiny,);
- Feedback from parent, pupil and staff surveys;
- Pupil voice;
- Quality of the curriculum;
- Information gathered through trustee visits (see below).

Hard and soft data gathered will feed into the school self-evaluation process before the strategic priorities for the following year can be determined. Trustees will also set

objectives for the year on year growth of the school and the annual addition of a new cohort.

The Academy Improvement Plan (AIP) will be reviewed termly, with the school development cycle for the following academic year commencing at the beginning of the Summer Term, as follows:

Timing	Action
April-May	Consultation period involving all staff, trustees, parents and pupil voice (surveys/questionnaires)
June	Collection and analysis of pupil performance data (SLT with ESC) Evaluation of school performance and final review of previous AIP HT report to trustees
July	SLT and trustees to determine priorities for following year for the AIP
September	Trustee ratification of AIP
November and March	Review of progress against priorities – Education and SEND Committee + FGB HT report to trustees
June	Final review of Plan

5.3 Monitoring School Performance

The Trustees will be expected to make regular visits to the school during the school day and Trustees on appointment must commit to taking time off work, if necessary, to fulfil this requirement of their role. The purpose of the visits is to gain a good understanding of how the school is operating to enable them to evaluate and challenge school performance. Visits will also support positive relationships between staff and Trustees. Some Trustees will be link trustees, for areas of specific of responsibility e.g. autism and special educational needs, safeguarding, pupil premium (refer to Section 5.6). A manageable programme of visits will be set up each school year to ensure that each visit has a relevant focus and enables Trustees to see how the school is addressing improvement priorities. A secure knowledge and understanding of the school will enable trustees to be involved in strategic planning and setting targets for improvement.

Trustees will be responsible for ensuring that the views of parents, staff and pupils, and the wider community are sought on an annual basis during the consultation period for the AIP. This will be carried out as follows:

- parents: online survey;
- pupils through an age appropriate online survey + pupil voice samples;
- staff: online survey with staff meeting or face to face follow up;

- community groups and employers: online survey of those already involved in the Academy, with public invitation to groups not involved in the Academy to also make returns.

Throughout the academic year, Trustees will communicate and meet regularly with parents, via a number of methods, namely:

- Website – to feature announcements and updates via a dedicated area of the site
- Electronic communications i.e. e-mails or parent mail
- Termly updates in the trustees section of the school newsletter;
- Being available to hold appointments with parents/carers;
- Attending school coffee mornings and open days to meet and chat informally with families.

The CAA Board will also prepare and publish an annual Impact Statement to inform parents and the community about how they have carried out their duties and functions across the academic year. This will also include an annual self-assessment statement to demonstrate performance and effectiveness overall.

5.3.1 Monitoring Data

The Headteacher will provide Trustees with all relevant information to enable them to have a fuller picture of school performance. Trustees will be trained to understand and analyse school data, which will include Ofsted’s school performance dashboard, school performance tables, Analyse School Performance and financial benchmarking tables. Trustees will look to employ the services of a school improvement partner (SIP) to assist them in the task of understanding and monitoring performance. This will include overview of progress data, monitoring the quality of teaching and learning provided by the school and guidance on setting future targets.

If Trustees judge that there are shortcomings in any aspect of school performance, school leadership may be challenged through direct questions in committee meetings or in meetings of the Board, or through meetings with the senior leadership team. If improvement does not progress according to plan, trustees will seek the advice of the SIP in order to set timed targets for improvement. This will be monitored by the Board and reported to the Trust. Improvement priorities for the school will be linked to performance appraisal objectives to secure accountability for progress and improvement.

There will be an expectation that the Trustees are fully committed to the school and its development and are responsible for ensuring that the school complies with all legal requirements.

5.4 Performance Management of the Headteacher

The performance management of the Headteacher is the process whereby the Headteacher is held to account for school progress. Two trustees will be nominated to carry out the performance appraisal of the Headteacher each year. Where possible, they will appoint an external professional adviser to lead the process, the expectation is for this to be the SIP, who has the necessary skills, experience and objectivity to provide them with advice and support. This will take place in the Autumn Term of each academic year. The purpose of this process is to appraise the performance of the Headteacher during the past year, assessing performance against the responsibilities of their role and against the National Standards for Headteachers. Objectives will be set for the coming year to support the improvement and development of the school and the Headteacher's own professional development. Progress against objectives will be reviewed in March each year, and finally in September.

A clear Pay and Appraisal Policy will set out the rewards, sanctions and processes so that this is a transparent process.

The Chair will not be one of the nominated Trustees to allow for a fully open relationship between the Chair and the Headteacher and to enable the Chair to act as mediator if necessary.

5.5 Accountability for Financial Processes

The Headteacher will be the Accounting Officer, and has overall responsibility for the school's financial affairs, including ensuring value for money. Specifically, the accounting officer will be personally responsible to the Trust Board for:

- Ensuring regularity and propriety;
- Prudent and economic administration;
- Avoidance of waste and extravagance;
- Efficient and effective use of resources; and
- The day to day organisation, staffing and management of the Trust.

The Accounting Officer has the duty to take action if the Board or Chair is contemplating a course of action, which he or she considers an infringement of propriety or regularity. Objections should be put in writing to the governing body details sent to the Permanent Secretary and the Trust's external auditors.

The Headteacher will attend training with Armstrong and Watson on the financial management in academies and free schools to ensure he has full understanding of his responsibilities as Accounting Officer.

The Business Manager, in their capacity as Chief Financial Officer (CFO), also have an important role in ensuring necessary financial information and advice is provided to

decision-makers at all levels across the trust. They will take the lead in establishing a strong framework for implementing and maintaining good financial management across the trust. They will work with the Head to develop the annual budget, which will be presented to the FRC for discussion and subsequently the Trust Board for final approval.

The Board will review the performance of the CFO through various channels, including, feedback from the Responsible Officer and external auditors, oversight of returns being made in a timely and effective manner, scrutiny of the Financial Report from the Head and SLT and meeting between the CFO and the Finance Trustee.

Along with the FRC, the Headteacher and Business Manager will be responsible for ensuring compliance with the Academy Trust Handbook, and this will be reviewed each year in October. Similarly, this committee will check that all requirements of the Funding Agreement are being adhered to. All members of the committee are required to have read and be familiar with the Academy Trust Handbook, Articles of Association, legal framework for the Charities Commission and company law as affecting the school, the school's finance policy and procedures manual, procurement policy and Scheme of Financial Delegation.

The FRC will meet termly to enable rigorous monitoring of the budget and ensure the school continues to provide value for money. This will include monitoring the cost-effective deployment of staff to ensure best outcomes for pupils.

Staff pay and conditions will be set in accordance with the following national arrangements, to provide for effective oversight and provide an equitable framework for salary and progression:-

- National Teachers Payscale for the SLT and Teaching Staff;
- NJC Payscale for Teaching Assistants and other support staff;
- Soulbury Scale for the Therapy roles.

Termly reports on financial monitoring by the Finance and Resources Committee will be submitted to the Trust.

For more information please refer to Section 4.2.1 for remit of FRC and Appendix (iv) for the FRC's Terms of Reference.

Full information on how financial transactions will be carried out and monitored is detailed in the Finance Policy and Procedures Manual. The policy includes:

- Organisation and responsibilities: the structure for reporting Financial planning and budget management;
- Management of bank accounts and cash management Financial accounting systems;
- Keeping and maintaining full and accurate accounting records Process for carrying out financial transactions;

- Value for money procedures and how the trust will use resources and ensure value for money;
- Tendering, purchasing, and payment procedures Measures to prevent losses or misuse of funds Scheme of Delegation;
- Reporting to the DfE.

5.5.1 Procurement

Arrangements for Procurement are outlined in the Procurement Policy.

5.5.2 Register of Business Interest

All members of the governing body, the Headteacher and other senior staff are required to complete a declaration of business interests. They will also be required to complete a Related Party Transaction Form, as a requirement for the annual audit.

Declarations will include all business and pecuniary (monetary) interests such as directorships, shareholdings and other appointments of influence within a business or other organisation. They should also include interests of related persons such as a parent, spouse, child, cohabitee and business partner where that person could exert influence over a trustee or member of staff.

The existence of a register of business interests does not of course detract from the duties of the Trustees and staff to declare interests whenever they are relevant to matters being discussed by the Trustees or a Committee.

Where an interest has been declared, Trustees and staff should not attend that part of the meeting.

The Register is in place and will be kept up to date by the Clerk. The Trust Board will appoint a Responsible Officer to provide an independent oversight of the Academy's financial affairs. The Responsible Officer will provide the governing body within on-going independent assurance that:

- The financial responsibilities of the governing body are being properly discharged;
- Resources are being managed in an efficient; economic and effective manner;
- Sound systems of internal financial control are being maintained; and
- Financial considerations are fully taken into account in reaching decisions.

(further details in Finance Policy and Procedures Manual)

5.6 Trustee responsibilities for Safeguarding, Prevent, SEND and Pupil Premium

5.6.1 Safeguarding

The Governing Body must ensure that:

- They comply with statutory safeguarding procedures;
- They have regard to the DfE statutory guidance '**Keeping Children Safe in Education 2021**' to ensure that the policies, procedures and training in their schools and colleges are effective and comply with the law at all times;

- The school contributes to inter-agency working in line with statutory guidance **Working Together to Safeguard Children 2018**;
- Their safeguarding arrangements take into account the procedures and practice of the Cumbria Safeguarding Children Partnership (CSCP).

The Governing Body **should also**:

- Ensure that a member of the governing body, usually the Chair, is nominated to liaise with the designated officer from the LA or CSCP and partner agencies in the event of an allegation of abuse made against the Headteacher;
- Consider how children may be taught about safeguarding, including online, through teaching and learning opportunities within the curriculum e.g. through PSHE and SRE;
- Ensure that the child's wishes are taken into account and there are systems in place for children to express their views and give feedback;
- Ensure that staff members do not promise confidentiality to a child and always act in the interests of the child;

One Trustee will take responsibility for ensuring that all safeguarding requirements are met in terms of DBS checks, the Single Central Record and up to date training and safeguarding policies. This trustee will draw up an annual report on safeguarding for the Governing Body, and this will be submitted to the members of the Trust. The annual report on safeguarding will include:

- A record of all training relating to safeguarding;
 - DSL and DDSL training;
 - Safeguarding training for staff;
 - Safeguarding training for trustee;
 - Safer Recruitment training for those with recruitment responsibilities;
 - Reducing and Managing Allegations against staff (HT, trustee);
 - Staff induction training relating to safeguarding;
- A dated record of all policies relating to safeguarding;
 - Anti-bullying;
 - Attendance;
 - Child Protection (with up to date references to current guidance on safeguarding requirements);
 - Children looked after;
 - Complaints procedures;

- Drugs and substance misuse;
 - Equality statement;
 - First Aid (including management of medical conditions and intimate care);
 - Health and safety;
 - Management of allegations;
 - Positive Behaviour;
 - E Safety;
 - Staff Code of Conduct;
 - Use of force and restraint;
 - Whistle blowing.
- Confirmation that all staff have read and understood 'Keeping Children Safe in Education 2021'. How the school ensures that all policies have been read, understood and implemented by staff, and how this is monitored;
 - Confirmation that school safeguarding policies are published on the school website. Single Central Record in place and up to date; all DBS checks for staff, trustees and volunteers up to date;
 - Reference to up to date guidance and requirements on keeping children safe in schools;
 - Number of safeguarding consultations held with the duty Child Protection Schools Liaison Officer via the CSCP;
 - Number of assessments under the Common Assessment Framework undertaken; Number and nature of referrals made to Children's Safeguarding and Specialist Services;
 - Total number of pupils for whom there is a Child Protection Plan throughout the academic year;
 - Total number of Children Looked After on role throughout the academic year
Number of allegations made against staff;
 - The safety of the physical environment;
 - Updates on the school's Prevent arrangements with regard to training, policy and concerns;
 - Completion of the Safeguarding Annual Checklist, and report on any areas which need further action;

Safeguarding will be a standing item on the agenda for meetings of the Full Governing Body. All Trustees will complete safeguarding training once every three years, and Trustees involved in recruiting staff will attend Safer Recruitment training. A lead trustee for Health

and Safety will be nominated with a remit to 'walk the site' termly and to support the school with review and development of health and safety policies.

5.6.2 Safeguarding risks

Trustees have a legal responsibility to ensure that children are kept safe in school. In the event the any of the safeguarding requirements are not being met, the Governing Body will take immediate remedial action. The actions taken will depend on the area of non-compliance. If there is any immediate risk to children, the Safeguarding Trustee and Chair of Trustees, in liaison with the Headteacher, will act straightaway to remove this risk. Officers from the LA or CSCP will be called in to advise if this is deemed necessary.

The Chair will be responsible for liaising with the designated officer from the LA or CSCP in the event of an allegation of abuse made against the Headteacher.

If any member of staff poses an alleged risk to the safety of children, he/she will be suspended from her role, until investigations have been carried out.

If a parent/carer or volunteer poses an alleged risk to the safety of children on the school premises, he/she will not be allowed to enter school premises until an investigation has been carried out.

If any adult working with children has been removed or dismissed because of safeguarding concerns, this will be reported immediately to the DBS by the Headteacher, or the Chair in the case of the Headteacher. There is a policy in place for managing allegations against staff.

Full information on keeping children safe is detailed in the Child Protection Policy.

Prevent: The Safeguarding trustee will ensure that the school, in exercise of its functions, will have due regard to the guidance under Section 29 of the Counter Terrorism and Security Act 2015. A training session to raise awareness of the Prevent duty will be held. The Safeguarding Trustee will be responsible for ensuring that new staff are familiar with the Prevent strategy, and for checking whether there are any concerns in relation to individual pupils. The Trust Board will take into account the policies and procedures of the CSCP, with reference to the Keeping Children Safe in Education 2021 document. The school's Prevent arrangements, with regard to training and policy, will be reported to the Trust Board in the Annual Safeguarding Report.

SEND: There will be one trustee designated to take responsibility for the support and progress of SEND pupils. To carry out their role, they will meet with the SENCO three time a year to monitor the provision of support and the progress of pupils and to ensure that allocated SEND funding is being used to improve outcomes for SEND pupils. The trustee will monitor the tracking processes for these pupils, scrutinize the progress data (using the school's online tracking system), and also look at end of year outcomes. The SEND trustee will discuss the cost and effectiveness of interventions and 1:1 support for pupils to ensure

value for money in terms of securing best outcomes for SEND pupils. This will be reported to the Governing Body and the Trust annually.

The SEND trustee will attend training as appropriate to develop knowledge and understanding of pupils with special needs and disabilities.

Pupil Premium: One trustee on the ESC will have specific responsibility for the progress of Pupil Premium pupils. They will be responsible for ensuring the Pupil Premium funding is being used to secure the best possible outcomes for pupils receiving it and to enable the gap to be closed between disadvantaged and advantaged pupils. This Trustee will meet with the SENCO each term to discuss progress and monitor the impact of the funding. This will be reported back to the ESC termly and through the committee's minutes to the whole governing body. If progress is less than good, the trustees will meet with the SENCO and Headteacher to discuss alternative strategies for supporting these pupils.

5.7 Compliance with Charity Law

This will be reviewed each year by the AO and CFO and reported to the Trust Board. Trustees will be encouraged to subscribe to DFE updates, including the Trustees Handbook and termly reminders about dates and deadlines, especially those relating to compliance. Trustees will be expected to attend regular training relating to their lead area to ensure they are fully aware of the legal responsibilities in that area.

5.8 Risk Management

The Trust Board has ultimate responsibility for ensuring there are effective risk management arrangements in place. These will include:

- defining the institution's risk management strategy and risk appetite;
- integrating the process for managing risk into the institution's overall strategic management, planning, systems, reporting, policies, values and culture;
- receiving regular reports on risk management actions in order to monitor the key risks;
- clearly identifying the person responsible for strategic risk management.

It will be the role of the SLT to develop and implement such arrangements and the Headteacher will take the primary role in risk management activity. Senior leaders must identify and prioritise the risks associated with non-delivery of the academy's objectives and associated plans. These risks will be documented in a Risk Register, which will be reviewed and updated on a regular basis by the governing body in conjunction with the Head and SLT.

The Risk Management Process will inform the programme of Internal Scrutiny. The process will be iterative and findings fed back to the Risk Register.

The FRC will also comprise the Audit and Risk committee, who will meet termly to review key risks and internal audit reports.

6. Managing the Work

6.1 Meeting Structure

Governing Body: The full board will meet three times a year, normally once a term. Minutes of meetings will be sent to the members.

Finance & Resources Committee (FRC): The FRC will meet once, each term, and will schedule meetings before the full Trust Board.

Education & SEND Committee (ESC): The ESC will meet once, each term, before the first meeting of the trust Board.

6.2 Annual Plan of Work for the Trust Board

Please refer to CAA Governance Annual Calendar of Work.

6.3 Trustee Succession Planning

A term of office for trustees will last for four years, and in normal circumstances Trustees will serve no more than two terms. The serving Chair of Trustees will create a succession plan for preparing trustees to take a leadership role on the governing body, and to plan a rolling programme for the recruitment and induction of new trustees. This includes planning for the Chair to be replaced at least every six years.

6.4 Conflicts of Interest

A register has been set up, and conflicts of interest will be addressed at the beginning of each meeting of the Trust and meetings of sub-committees. This will be maintained by the Clerk.

Where there is a conflict of interest relating to specific items under discussion, trustees will be requested to absent themselves from the meeting until the discussion is concluded.

6.5 Governing Board Evaluation

In addition to the overarching scrutiny of the CAA Trust Members (2.3.3), the Board will continually review its own performance to understand overall effectiveness.

This will, in part, be delivered by self-evaluation using the All-Party Parliamentary Group (APPG) 'Twenty Questions every Governing Body should ask itself'.

The Board will also look to commission an external evaluation of effectiveness which will either be delivered by peer to peer appraisal or through an external adviser.

Findings will be fed into the SEF with key priorities for development identified and actions implemented where necessary. An annual Impact Statement will be prepared to evidence the performance of the Governing Body.

All trustees will undertake an annual review of skills and continued training and development.

7. Training and Induction

7.1 Training

A programme of training will be in place annually, for Trustees to ensure that they are prepared for their strategic role and their responsibilities as Trustees (refer to Section 3.5).

A skills audit will be carried out annually. Trustees will be expected to commit to at least one training session during the school year. Training sessions for the whole board will be put in place as necessary to cover issues relating to the school's expansion and development.

7.2 Induction

Induction procedures will be set out in the Induction policy for new trustees. These procedures will be followed for all new trustees, including the staff and parent trustees appointed in the two years after opening. The induction process will include:

- Trustee induction training as soon as possible after appointment
- Induction meeting with the Chair
- Allocation of dedicated school email address and google drive access
- Induction resources, including:-
 - Education Brief;
 - Academy Improvement Plan;
 - Governance Plan;
 - Trustees' Handbook;
 - Details of all Trustees;
 - Details of Committees;
 - Schedule of Committee Dates for all meetings;
 - Governing Body Code of Conduct;
 - Committees' Terms of Reference;
 - Term Time Dates (including holidays and INSET Days);
 - Forthcoming Events;
 - Summary of latest Ofsted Report (when these are available);
 - Summary of any DFE officer visits;
 - Governing Body Visits Policy;
 - Safeguarding Policy and KCSIE;
 - Minutes of the last two years Full Governing Body meetings;
 - Minutes of the last two years sub-committee meetings;
 - School Budget details;
 - Latest Headteacher Reports;
 - Useful website and contact information.
- All trustees will be expected to have read:-
 - The Academy Trust Handbook;

- The Governance Handbook (DfE);
- The Funding Agreement for Cumbria Academy for Autism.

If the school attracts more Trustees than the number specified for the Board, a selection and recruitment process will be put in place, ensuring that there is balance of skills and experience.

Appendix A:

Full Governing Board - Terms of Reference

1. The Board of Trustees needs to take a strategic role, act as a critical friend to the school and be accountable for its decisions. It should set aims and objectives and review, agree and monitor policies, targets and priorities. Board meetings will be open to the public with Minutes available except for Part 2 business. In the event of a tied vote the Chair or Acting Chair/Vice Chair will have a second or casting vote.
2. The full board decides all policy matters concerning the management of the school, taking into account the requirements of legislation. The Board may delegate any of its financial functions to a committee, a trustee or to the Headteacher, subject to prescribed restrictions.
3. The following functions may be delegated to a committee but cannot be delegated to an individual.
 - i. Functions relating to the alteration, closure or change of category of the school;
 - ii. Functions relating to the approval of the first formal budget plan of the financial year;
 - iii. Functions relating to school discipline policies;
 - iv. Functions relating to the permanent exclusion of pupils (except in an emergency when the Chairman has the power to exercise these functions);
 - v. Functions relating to admissions.
4. The Board will review the delegation of functions annually. The Board will remain accountable for any decisions taken, including those relating to functions delegated to a committee or individual. Any decisions or actions taken must be reported back to the Board.
5. The Board will:-
 - i. Hold at least 3 meetings per year and more as appropriate;
 - ii. Appoint and remove the Clerk;
 - iii. Elect a Chair and Vice Chair;
 - iv. Review annually the delegation of functions and committee structure and appoint Chairs;
 - v. Annually elect trustees for the following responsibilities: SEND, Safeguarding, Children Looked After, Pupil Premium, Health and Safety, curriculum areas as needed;
 - vi. Set dates for the meetings for the year ahead;
 - vii. Decide any Trustee suspensions;
 - viii. Advise all parents of any parent trustee vacancies, all staff of staff trustee vacancies;
 - ix. Note term dates for the academic year and agree any occasional days;
 - x. Receive Headteacher reports;
 - xi. Review and monitor national test results;
 - xii. Review level of exclusions;
 - xiii. Monitor attendance of pupils/staff/trustees;

- xiv. Set overall performance targets;
- xv. Provide induction for new trustees;
- xvi. Set up a trustee visit and feedback programme;
- xvii. Review, adopt and monitor the procedure for dealing with complaints from parents/carers;
- xviii. Review, approve and monitor the Academy Improvement Plan;
- xix. Appoint two trustees with appropriate training/experience to complete the Headteacher's Performance Appraisal, and arrange an external advisor to support this process where possible;
- xx. Maintain and annually update a conflict of interests register;
- xxi. Carry out annual self-evaluation of the governing body performance and an audit of skills;
- xxii. Organise training for trustees according to needs.

Appendix B:

Finance and Resources Committee including Audit - Terms of Reference

1. Membership

- i. The Committee shall consist of at least three trustees;
- ii. The Clerk to the Committee;
- iii. Chair of Trustees;
- iv. Finance trustee, with professional experience in compliance, modelling and budgeting;
- v. The Headteacher (also Accounting Officer);
- vi. Co-opted trustee with relevant expertise, with delegated voting rights;
- vii. The majority of the Committee must be Trustees.

2. Chair

- i. The Board shall appoint the Chair. In the absence of the Chair, the Committee shall elect any member to act as Chair for that meeting;
- ii. The Board may remove the Chair from office at any time.

3. Clerk

- i. The Clerk shall be appointed by the committee but cannot be the Headteacher. In the Clerk's absence, the Trustees present may appoint a member of the Committee (not the Headteacher) to act as clerk for that meeting;
- ii. The Board or the committee can remove the Clerk from office at any time;
- iii. It is the responsibility of the Clerk to a Committee to:
 - convene meetings of the Committee under the direction of the Board and the Chair of the Committee;
 - attend meetings and ensure minutes are taken;
 - perform, from time to time, any other functions as required by the Committee and determined by the Board.
- iv. The clerk should circulate agendas and supporting documentation seven days before the meeting unless there are exceptional reasons.

4. Voting, Quorums and Meetings

- i. Every question to be decided at a Committee meeting must be determined by a majority of votes of those present who are Trustees, and any others entitled to vote, by virtue of co-option. In order for the Committee to vote, the majority of those present must be Trustees. Co-opted and associate members may not vote on any decision concerning admissions, pupil discipline, election or appointment of trustees, the budget and finance commitments of the board.
- ii. The Chair (provided he/she is a Trustee) has a casting vote.
- iii. The quorum is one half of the membership (rounded up to a whole number).
- iv. At least half of the quorum shall be Trustees on the committee.
- v. Meetings will occur twice a term.

- vi. Fourteen days' notice of the dates for meetings will be provided, unless there are exceptional circumstances.

5. Minutes of the meeting

- i. Draft minutes must be drawn up by the Clerk and distributed to all members of the Committee. The minutes will be approved at the next Committee meeting and signed by the Chair. An approved copy of the Committee's minutes should be made available and circulated to the trustees with the agenda of the next full Governing Body's meeting.
- ii. The Committee must make available for inspection to any interested person, a copy of the agenda, signed minutes and reports or papers considered at the meeting as soon as is reasonably practicable, except for part 2 confidential minutes.
- iii. Information relating to a named person or any other matter that the Committee considers confidential does not have to be so made available for distribution or inspection.

6. Functions

- i. The Committee will consider matters as directed by the Trust Board or the Chair and will take advice as and where appropriate.
- ii. The Committee shall have regard to the school's current and prospective financial position and budgets before committing or recommending expenditure. Consultation with the Headteacher as accounting officer and Chair of Trustees must be undertaken.
- iii. The Board shall determine the powers delegated to the Committee, which will be reviewed annually, and will then form part of the Terms of Reference for the Resources Committee.

7. Training and Procedures

- i. Members of the Committee should attend appropriate training courses.
- ii. The Committee and officers will be appointed/re-appointed on an annual basis at the first meeting of the Trust Board in the autumn term.
- iii. The Terms of Reference will be reviewed annually, together with Schedule of Tasks of the committee.
- iv. The normal procedures and regulations of the full board will also apply to the Committee.

8. Responsibilities

The Committee shall undertake the following activities:

Finance (including Audit and Risk)

- i. To carry out the responsibilities delegated to it by the Board
- ii. To work with the Headteacher, as accounting officer, and the business manager to ensure that financial decisions enable the school to provide value for money, and to ensure that processes are compliant with The Academy Trust Handbook
- iii. To review Finance Policies annually and recommend any changes to the Board for approval.

- iv. To advise the Board, in consultation with the Headteacher, on:
 - the budget needed to run the school in accordance with statutory requirements and the agreed Academy Improvement Plan;
 - ensuring that the Board's financial policy and actions are in accordance with legislation, other statutory requirements and the Academies Trust Handbook;
 - prioritising major items of expenditure in accordance with school development priorities;
 - procurement of services to ensure best value for money;
 - a programme of Internal Scrutiny and risk management.
- v. To consider the draft Academy Improvement Plan and to advise the Headteacher and Board on the implications for the school's finances and premises.
- vi. To recommend the school annual budget to the Board.
- vii. To review and recommend a long term (3 years) Financial Plan to the Board.
- viii. To set out the budget in a standard format, which allows transparent benchmarking against other schools and easy monitoring of, for example, the use of Pupil Premium funding, SEND funding and Sports funding.
- ix. To monitor and review spending against the budget, twice a term, and ensure that expenditure remains within the prescribed limits.
- x. To generate additional income from a range of sources through funding bids.
- xi. To review the school's management of risk and insurance provision.
- xii. To use benchmarking data and ensure the school is providing value for money
- xiii. To review contracts to ensure best value for money
- xiv. To appoint external auditors with experience of financial management in academies.
- xv. To provide financial reports to the Trust three times a year
- xvi. Ensuring the annual accounts are produced in accordance with the requirements of the Companies Act 1985 and the DfE guidance issued to academies;
- xvii. Authorising the award of contracts up to the amount stated in the Scheme of Delegation (Appendix 1)
- xviii. Reviewing the reports of the Responsible Officer on the effectiveness of the financial procedures and controls. These reports must also be reported to the governing body.

Premises

- i. To provide support and guidance for the Headteacher on all matters relating to the school premises and grounds, security, health and safety, including the development of the new school.
- ii. To provide support and guidance for the Headteacher with the development and equipping of the new school.
- iii. To review the Accessibility Plan for the school.
- iv. To inspect the premises and grounds annually and prepare a report on the conditions for the Governing Body.
- v. To undertake a health and safety audit of the school premises on an annual basis and report to the Governing Body, liaising with the Headteacher to ensure that the school complies with health and safety regulations and guidance.

Pay & Personnel

- i. To draft and review and implement the school's Pay and Appraisal Policy.
- ii. To draft and keep under review the staffing structure in consultation with the Headteacher, to ensure it supports best outcomes for pupils.
- iii. To oversee the appointment, contracts and statutory obligations of all staff ensuring Safer Recruitment procedures are followed.
- iv. To appoint 2 trustees, to review and set performance targets for the Head in partnership with an external advisor and make recommendations on pay progression.
- v. To ensure that staff performance appraisals are being carried out in accordance with the Pay and Appraisal policy.
- vi. To ensure that the Deputy Head and all staff salaries are reviewed annually, and to make recommendations. To ensure that an annual notification of Teachers Pay is completed.
- vii. To keep under review staff work/life balance, working conditions and well-being, including the monitoring of absence.
- viii. To oversee the induction and training of new staff and continuing professional development for all.
- ix. To refer any appeal against a decision on pay grading or pay awards to the Staff Discipline and Grievance Panel.
- x. To review and recommend for adoption by the governing body procedures for dealing with staff discipline, dismissal and grievances, and ensure the staff are informed of them.
- xi. To ensure compliance with Accessibility Plan as appropriate to staff.
- xii. To ensure compliance with Employment Equality Regulations 2006

Risk Management and Internal Scrutiny

- i. To implement and review the risk management system;
- ii. To define the risk management strategy for CAA;
- iii. To oversee the risk register in conjunction with the Head and SLT;
- iv. To receive termly updated registers from the SLT;
- v. To agree an annual programme of internal scrutiny;
- vi. To appoint an internal scrutineer.
- vii. To review and action the internal scrutiny report on a termly basis;
- viii. To update the risk registers in accordance with the internal audit findings.

9. Withdrawal

Members of the Committee who are personally affected by any matters discussed by the Committee will make this known to the Chair, who may then ask them to withdraw from all or part of the meeting.

Appendix C:

Education & SEND Committee (ESC) – Terms of Reference

1. Membership

- i. The Committee shall consist of at least three Trustees.
- ii. The Clerk to the Committee.
- iii. Chair of Trustees.
- iv. The Headteacher.
- v. A specified member of the schools' Senior Leadership Team (SLT) shall be an ex-officio member as the school expands.
- vi. The majority of the Committee must be Trustees.

2. Chair

- i. The Board shall appoint the Chair. In the absence of the Chair, the Committee shall elect any member to act as Chair for that meeting.
- ii. The Board may remove the Chair from office at any time.

3. Clerk

- i. The Clerk shall be appointed by the committee but cannot be the Headteacher. In the Clerk's absence, the Trustees present may appoint a member of the Committee (not the Headteacher) to act as clerk for that meeting.
- ii. The Board or the committee can remove the Clerk from office at any time.
- iii. It is the responsibility of the Clerk to a Committee to:
 - convene meetings of the Committee under the direction of the Board and the Chair of the Committee;
 - attend meetings and ensure minutes are taken;
 - perform, from time to time, any other functions as required by the Committee and determined by the Trust Board.
- iv. The clerk should circulate agendas and supporting documentation seven days before the meeting unless there are exceptional reasons.

4. Voting, Quorums and Meetings

- i. Every question to be decided at a Committee meeting must be determined by a majority of votes of those present who are Trustees and any others entitled to vote, by virtue of co-option. In order for the Committee to vote the majority of those present must be Trustees. Co-opted and associate members may not vote on any decision concerning admissions, pupil discipline, election or appointment of Trustees, the budget and financial commitments of the Trust Board.
- ii. The Chair (provided he/she is a Trustee) has a casting vote.
- iii. The quorum is one half of the membership (rounded up to a whole number).
- iv. At least half of the quorum shall be trustees of the committee.

- v. Meetings will occur once a term.
- vi. Fourteen days' notice of the dates for meetings will be provided, unless there are exceptional circumstances.

5. Minutes of the meeting

- i. Draft minutes must be drawn up by the Clerk and distributed to all members of the Committee. The minutes will be approved at the next Committee meeting and signed by the Chair or maybe approved via email, by the quorum and a record of the approvals saved onto the CAA Board shared drive. An approved copy of the Committee's minutes should be made available and circulated to members of the Board with the agenda of the next full Board meeting.
- ii. The Committee must make available for inspection to any interested person, a copy of the agenda, signed minutes and reports or papers considered at the meeting as soon as is reasonably practicable, except for part 2 confidential minutes.
- iii. Information relating to a named person or any other matter that the Committee considers confidential does not have to be so made available for distribution or inspection.

6. Functions

- i. The Committee will consider matters as directed by the Governing Body or the Chair of Trustees and will take advice as and where appropriate.
- ii. Decisions which require a spending commitment over and able agreed budget provisions and delegated responsibilities, must be referred to the Finance and Resources Committee, after consultation with the Head teacher and Chair of Trustees
- iii. The Board shall determine the powers delegated to the ESC.

7. Training and Procedures

- i. Members of the Committee should attend appropriate training courses.
- ii. The Committee and officers will be appointed/re-appointed on an annual basis at the first meeting of the Board in the autumn term.
- iii. The Terms of Reference will be reviewed annually, together with Schedule of Tasks of the committee.
- iv. The normal procedures and regulations of the full Board will also apply to the Committee.

8. Responsibilities

- i. Termly comprehensive monitoring of data, including progress and attainment by cohort and group (including by ability, ethnic background, gender and Pupil Premium).
- ii. Receive termly reports on the quality of teaching and the standards of pupil achievement.
- iii. Ensuring educational priorities are reflected in the Academy Improvement Plan and monitored termly,

- iv. Triangulate information from school data, reports from independent and external moderations and inspections and observations from school visits and monitor progress against targets to enable its contribution to the school self-evaluation process.
- v. Monitor the delivery of the curriculum.
- vi. ensure that all safeguarding procedures are up to date and compliant with national requirements.
- vii. Review Prevent awareness and training.
- viii. Ensure that the needs of both children with Special Educational Needs and Disabilities are met
- ix. Review the targets for pupil achievement: e.g. SATS results and other achievement Indicators.
- x. Review impact of pupil premium
- xi. Review the implementation of the school's positive behaviour policy and procedures.
- xii. Review information to parents: website, School Prospectus, reporting procedures and Home/School Agreement and Code of Conduct.
- xiii. Review attendance and punctuality.
- xiv. Review pupil exclusions.
- xv. Review the provision for extra-curricular activities, including after school clubs, school trips and off-site activities.
- xvi. Review equality statement and accessibility plan.
- xvii. Review travel plan.

9. Withdrawal

Members of the Committee who are personally affected by any matters discussed by the Committee will make this known to the Chair, who may then ask them to withdraw from all or part of the meeting.