



## GOVERNANCE HANDBOOK 2020-21

TO BE AGREED AND SIGNED OFF AT EXTRA ORDINARY TRUST BOARD MEETING

(Signed) *E. Vane Gattney* Dated 11.11.20 (Chair of Trust Board)

(Signed) *S. Moran* Dated 11.11.20 (Executive Principal)

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27/11/2020

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## 1. CODE OF CONDUCT

This code sets out the expectations on and commitment required from members, trustees, academy governors and academy committee members in order for them to properly carry out their work within the school/s and the community. Unless otherwise stated, 'school' includes academies, and it applies to all levels of school governance. Whilst most references in this document are predominantly linked to the trust board, this code of conduct applies equally to all levels of Governance. This Code should be read in conjunction with the relevant law and for academies, their articles of association and agreed scheme of delegation. It should be adapted as appropriate depending on the governance setting and level of delegation.

### **As a trust board we accept responsibility for:**

#### **Establishing the strategic direction, by:**

- Setting and ensuring clarity of vision, values, and objectives for the school(s)/trust
- Agreeing the school improvement strategy with priorities and targets
- Meeting statutory duties

#### **Ensuring accountability, by:**

- Appointing the Executive Principal
- Monitoring the educational performance of the school/s and progress towards agreed targets
- Performance managing the Executive Principal
- Engaging with stakeholders
- Contributing to school self-evaluation

#### **Overseeing financial performance, by:**

- Setting the budget
- Monitoring spending against the budget
- Ensuring money is well spent and value for money is obtained
- Ensuring risks to the organisation are managed

**As individuals on the Trust board/ Trust committees and as governors we agree to fulfill the following roles and responsibilities:**

- Actively understand the purpose of the governance structure and the role of the executive leaders.
- Work with others including the Executive Principal and where appropriate, executive leaders, other governors and other partners.
- Accept that we have no legal authority to act individually, except when the board has given us delegated authority to do so, and therefore we will only speak on behalf of the trust board when we have been specifically authorised to do so.
- Accept collective responsibility for all decisions made by the board or its delegated agents. This means that we will not speak against majority decisions outside the trust board meeting.
- Fulfill our duty to act fairly and without prejudice, and in so far as we have responsibility for staff, we will fulfil all that is expected of a good employer.
- Encourage open governance and act appropriately.
- Consider carefully how our decisions may affect the community and other schools.
- Always be mindful of our responsibility to maintain and develop the ethos and reputation of our school/group of schools. Our actions within the school and the local community will reflect this.
- In making or responding to criticism or complaints we will follow the procedures established by the trust board.
- Actively support and challenge the executive leaders
- Accept and respect the difference in roles between the board and staff, ensuring that we work collectively for the benefit of the organisation;
- Respect the role of the executive leaders and their responsibility for the day to day management of the organisation and avoid any actions that might undermine such arrangements;
- Agree to adhere to the schools' rules and policies and the procedures of the trust board as set out by the relevant governing documents and law
- When formally speaking or writing in our governing role we will ensure our comments reflect current organisational policy even if they might be different to our personal views;
- When communicating in our private capacity (including on social media) we will be mindful of and strive to uphold the reputation of the organisation
- Avoid, as far as possible, becoming involved in any communication which may lead to a conflict of interest with the role of the local community governance committee

**Commitment**

- Accepting office as a member/trustee/governor/academy committee member involves the commitment of significant amounts of time and energy.
- Involve ourselves actively in the work of the trust board, and accept our fair share of responsibilities, including service on committees/ working groups.
- Make full efforts to attend all meetings and where we cannot attend explain in advance why we are unable to.
- Get to know the school/s well and respond to opportunities to involve ourselves in school activities.
- Visit the school/s, with all visits arranged in advance and undertaken within the framework established by the trust board.
- When visiting the school in a personal capacity (i.e. parent or carer), we will maintain our underlying responsibility in our governance role.
- Consider seriously our individual and collective needs for induction, training and development, and will undertake relevant training.

- Accept that in the interests of open governance, our full names, date of appointment, terms of office, governance roles, attendance records, relevant business and pecuniary interests, category of governor and the body responsible for appointing us will be published on the school's website.
- Accept that information relating to governance members will be collected and logged on the DfE's national database of governors.

### **Relationships**

- Strive to work as a team in which constructive working relationships are actively promoted.
- Express views openly, courteously and respectfully in all our communications with other governors/trustees/academy committee members, the clerk to the trust board and school staff both in and outside of meetings.
- Support the chair in their role of ensuring appropriate conduct both at meetings and at all times.
- Confront malpractice by speaking up against and bringing to the attention of the relevant authorities any decisions and actions that conflict with the Seven Principles of Public Life (see annex) or which may place pupils at risk.
- Be prepared to answer queries from other board members in relation to delegated functions and take into account any concerns expressed, and we will acknowledge the time, effort and skills that have been committed to the delegated function by those involved.
- Seek to develop effective working relationships with the executive leaders, staff and parents, the trust, the local authority and other relevant agencies and the community.

### **Confidentiality**

- Observe complete confidentiality for confidential matters or where they concern specific members of staff or pupils, both inside or outside school.
- Exercise the greatest prudence at all times when discussions regarding school/trust business arise outside a trust board meeting.
- Not reveal the details of any trust board vote.
- Ensure all confidential papers are held and disposed of appropriately.

### **Conflicts of interest**

- Record any pecuniary or other business interest in the Register of Business Interests (including those related to people we are connected with) that have a connection with the trust board's business, and if any such conflicted matter arises in a meeting to offer to leave the meeting for that item.
- Accept that the Register of Business Interests will be published on the school/ Trust's website.
- Declare any conflict of loyalty at the start of any meeting should the situation arise.
- Act in the best interests of the school as a whole and not as a representative of any group, even if elected to the governing board.

### **Ceasing to be a governor/trustee/academy committee member**

- We understand that the requirements relating to confidentiality will continue to apply after a member of governance leaves office

### **Breach of this code of conduct**

- If we believe this code has been breached, we will raise this issue with the chair and the chair will investigate; the trust board will only use suspension/removal as a last resort after seeking to resolve any difficulties or disputes in more constructive ways.
- Should it be the chair that we believe has breached this code, another trust board member, such as the vice chair will investigate.

### The Seven Principles of Public Life

(Originally published by the Nolan Committee: The Committee on Standards in Public Life was established by the then Prime Minister in October 1994, under the Chairmanship of Lord Nolan, to consider standards of conduct in various areas of public life, and to make recommendations).

Selflessness - Holders of public office should act solely in terms of the public interest.

Integrity - Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

Objectivity - In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

Accountability - Holders of public office must act and take decisions and action and must submit themselves to the scrutiny necessary to ensure this.

Openness - Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Honesty - Holders of public office should be truthful.

Leadership - Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

## **Specific roles and responsibilities of individuals** (*trustees and directors used interchangeably by DFE*)

### **Role of a Member**

**The members of an academy trust have a different status from the Directors/ trustees.**

- The members are the subscribers to the trust's memorandum of association, and any other individuals permitted to become members under its *articles of association*.
- Members have an overview of the governance arrangements of the trust and have the power to appoint trustees and remove these trustees.
- Members can amend the articles at any time and may do so to support stronger governance arrangements.
- Members must not be employees of the trust.
- While members can also be trustees, retaining some distinction between the two layers ensures that members, independent of trustees, provide oversight and challenge. Only one of our members is also a trustee, which is in line with DfE recommendations.
- The Department for Education (DfE) encourages trusts to have at least five members in total, ESPRIT has 7 members, as this:
  - ❖ ensures enough members can take decisions via special resolution (which requires 75% of members to agree) without requiring unanimity, and
  - ❖ facilitates majority decisions being taken by ordinary resolution (which requires a majority of members to agree)

**Meetings of members are once per year**

### **Our process for appointing members?**

- Identify a need for a new member and the gap in skill to be filled
- Identify individuals who Academies believe have the necessary skills related to Education, HR, Business, Finance, and Legal.
- Article 17 says that every person nominated to become a member of the academy trust must sign a written consent to become a member. They must also sign the register of members once they have become members.
- Article 13 of the model articles of association says that signatory members, and the school's foundation or sponsor body where applicable, may remove a member they have appointed, or appoint a replacement member to fill a vacancy, by delivering a written notice to the academy trust's registered office.
- In addition, article 15A allows the members to appoint additional members as they see fit by passing a special resolution in writing.

### **Who must we notify when we appoint a member?**

The Education Funding Agency (EFA) must be notified within 14 days of the new appointment. The DfE has a form that academies can use to update the names and contact information for key contacts:

### **Role of a trustee**

- Trustees are the same body of people as both the directors of the company and the ‘governors’ of a single academy trust; these words are used interchangeably.
- Trustees are the people responsible under the academy trust articles of association for controlling its management and administration.
- Trustees have responsibility for directing its affairs, ensuring that it is solvent, well-run, and delivering the trust’s charitable outcomes for the benefit of the public.
- Our Multi-academy trust has different governance arrangements because we are established to oversee and manage more than one academy.
- Individuals must ensure that they fully understand their duties as company directors and charity trustees. Guidance exists in;
  - duties of company directors are described in sections 170 to 181 of the Companies Act 2006;
  - role and duties of charity trustees are described by the Charity Commission in (CC3): the essential trustee: what you need to know, what you need to do.

### **Responsibilities of trustees**

The board of trustees of the academy trust has wide responsibilities under statute, regulations and the funding agreement.

- Principally, the Board is responsible for ensuring that the trust’s funds are used only in accordance with the law, its articles of association, its funding agreement and this handbook.
- The board of trustees has wide discretion over its use of the trust's funds, which it must discharge reasonably and in a way that commands broad public support. It is responsible for the proper stewardship of those funds, including regularity and propriety, and for ensuring economy, efficiency and effectiveness in their use – the three key elements of value for money.
- Academy trusts are companies limited by guarantee and exempt charities.
- The board of trustees is subject to the duties and responsibilities of charitable trustees and company directors as well as any other conditions that the Secretary of State agrees with them. These responsibilities are mutually reinforcing and are there to ensure proper governance and conduct of the trust.
- Trustees should follow the guidance in the Governors’ Handbook which sets out the legal duties applying to, and core role and strategic functions of, boards of trustees.
- The board of trustees must understand their statutory duties as company directors as set out in the Companies Act 2006. These comprise the duties to:
  - ❖ act within their powers
  - ❖ promote the success of the company and exercise independent judgement
  - ❖ exercise reasonable care, skill and diligence
  - ❖ avoid conflicts of interest, including not to accept benefits from third parties and declare interest in proposed transactions or arrangements

### **Specific roles delegated to the trustees**

- The board of trustees has appointed in writing, a chief executive who, in accordance with the trust’ articles of association, acts as an ex officio trustee.



- The board and its committees meet at least quarterly to discharge their responsibilities under their articles of association, funding agreement and the Governance Handbook, to ensure robust governance and effective financial management arrangements.
- The board has an improvement plan which sets out the actions we need to accomplish during the year.
- The board has approved a written scheme of delegation of financial powers that maintains robust internal control arrangements.
- The academy trust has a finance committee to which the board delegates financial scrutiny and oversight.
- The academy trust has appointed a clerk to the board of trustees who is someone other than a trustee, principal or chief executive of the trust.

#### **Link trustee delegation of responsibility**

- Trustees will determine where appropriate to delegate additional decision making powers to the Chair of Trustees
- To liaise with the appropriate member(s) of staff and link governor
- To visit the school with the purpose of gathering information concerning their area of responsibility and to increase their knowledge of the School
- To regularly report to the trustees on developments and progress within their area of responsibility
- To quality assure the evaluation of progress towards priorities through a range of on site and remote activities
- To attend training as appropriate
- To monitor the work of the local community governance committee and school via action plans and evaluations
- Link Trustees and Governors are listed later

#### **Link governor – delegation of responsibility**

- To liaise with the appropriate member(s) of staff
- To visit the school with the purpose of gathering information concerning their area of responsibility and to increase their knowledge of the School
- To regularly report to the local community governance committee, the link trustee or, whichever the LCGC deems most appropriate, on developments/progress within their area of responsibility
- To raise the profile of the area of responsibility when related matters are considered by the LCGC
- To attend training as appropriate
- To monitor the work of the school via action plans and evaluations

#### **Role and responsibilities of the clerk**

**To work effectively with the Chair of Trustees, other governors/ trustees, Academy Principals and Executive Principal to support robust Governance;**

- To advise on Constitutional and Procedural Matters, duties and powers
- To convene and organise meetings;
- To attend meetings and ensure minutes are taken

- **To maintain all website requirements related to MAT Governance**
- To maintain a register of all governance members and any vacancies
- To give and receive notices in accordance with relevant regulations
- To perform such other functions as may be determined by the trustees and governing body from time to time.

## **Terms of reference for Committees**

**Committees will be responsible for close scrutiny of all aspects of the MAT and schools' work. Committee Chairs and the Executive Principal will report to the Trust Board by exception**

An exception report will be used to identify and prioritise instances which require immediate attention when reviewing the performance of our schools, or academy trust. It will allow the board to easily understand issues of concern, or where the performance at our schools or trust has significantly deteriorated from that which you would expect, and to question and challenge executive leaders to understand and contribute towards the improvement actions. The ESFA have developed 7 themes which they suggest help Trustees to monitor the performance of their Trust. These are;

- 1. Pupil numbers/attendance and exclusions**
- 2. Attainment and progress**
- 3. Curriculum planning – staff and class sizes**
- 4. Financial Management and Governance**
- 5. Quality assurance**
- 6. Safeguarding and well-being**
- 7. The school community – staff, pupils and parents**

We ensure that these 7 themes are fully considered and included in the Terms of Reference of our 5 Trust Committees;

- 1. Audit Committee**
- 2. Challenge Committee**
- 3. Risk Management and Health and Safety Committee**
- 4. Local Community Governance Committee**
- 5. Appraisal Committee**

**The Board will regularly update the risk register in the light of committee reporting and take action to mitigate against risks.**

## **Audit committee**

Staff employed by the trust will not be members of an audit committee, but may attend to provide information and participate in discussions. The committee is quorate with 2 members attending. Committee to meet at least quarterly.

### **General Terms**

- To act on matters delegated by the board of trustees.
- To liaise and consult with other committees where necessary.
- To contribute to the academy improvement plans.
- To consider safeguarding and equalities implications when undertaking all committee functions.
- To routinely review and discuss risks to the trust's operation.

### **Financial Policy and Planning**

- To review, adopt and monitor a Finance Policy which includes the local scheme of delegation for spending and budgetary adjustments (virements).
- To review, adopt and monitor all additional financial policies, including a charging and remissions policy.
- To establish and maintain a three-year financial plan, taking into the account priorities of the Academy Improvement Plans, roll projection and signals from central government and the LA regarding future years' budgets, within the constraints of available information.
- To draft and propose to the trust board for adoption annual Academy budgets taking into account the priorities of the Academy Improvement Plans.
- To make decisions in respect of service level agreements.
- To ensure that sufficient funds are set aside for pay increments as set out in the Pay Policy and as recommended by the Executive Principal and Academy Principals.
- To complete the Schools Resource Management Self Assessment document annually

### **Curriculum planning (integrated with financial planning)**

- To ensure curriculum planning is coordinated as a joint exercise with your budget planning to produce a curriculum that meets the needs of **all** pupils (including those with additional needs) and is affordable.
- To embed a curriculum-led and data-informed approach to financial planning to establish a staffing structure that can deliver the greatest impact.
- Monitor the amount of non-teaching time the special educational needs co-ordinator (SENCo) has available in relation to the number of pupils with SEN
- Monitor whether the current staff deployment strategy supports the school's educational vision and pupil outcomes
- Monitor current and future pupil forecasts to identify any changes in staffing requirements, including consideration of any special educational needs and disabilities of current and future pupils

## **RISK & Financial monitoring**

- To monitor the income and expenditure throughout the year of all delegated and devolved funds against the annual budget plan.
- To report back to each meeting of the Board of trustees and to alert them of potential problems or significant anomalies at an early date.
- Subject to the local scheme of delegation, to approve any budgetary adjustments that will from time to time be necessary in response to the evolving requirements of the MAT.
- To prepare the trustees report to form part of the Statutory Accounts of the governing body and for filing in accordance with Companies Act requirements.
- To receive auditors' reports and to recommend the trust board action as appropriate in response to audit findings.
- To assess the effectiveness of the external auditor and recommend to the full trust board the appointment or reappointment of the auditors and their remuneration.
- To highlight any material divergence from initial budgets set and ongoing forecasts
- To identify and challenge trends and inefficiencies to understand what is happening in your school or academy trust
- To track income versus planned and actual expenditure against budget forecasts, revenue expenditure and non-staff costs as a percentage of total expenditure (and of income)
- To analyse cash flow
- To ensure pupil number projections have been accurate and if not, immediately re-budget accordingly
- To monitor 'the management accounts every month' which **must** include an income and expenditure account, variation to budget report, cash flows and balance sheet. The trust **must** select key financial performance indicators and measure its performance against them regularly, including analysis in its annual trustees' report as explained in the [Accounts Direction](#)' ([Academies Financial Handbook](#) 2019 2.21-2.22)
- To monitor the services that are provided centrally to its academies (eg through service level agreements). There should also be robust processes in place for assessing the quality of these services and their value for money
- To complete the [school resource management self-assessment tool](#) return (for academies and trusts)
- To use the [school's financial benchmarking](#) service to compare your school's income and expenditure annually against that of similar schools and investigate further

## **Long and short-term financial/budget planning**

- Ensure there is a 3-5 year financial/ budget plan, including balance sheet and for academy trusts cash flow projections.
- To consult the school's published pupil premium strategy and check with the senior team the rationale for the spending decisions
- Monitor planning for expenditure on your estate, including in implementing your published accessibility plan (the content of which must include plans to increase access for disabled pupils to the physical environment)

## **Schedule of contracts**

- Monitor the contracts log to identify which contracts are due for renewal and ensure they are getting the best deals on all goods or services (eg energy and water supplies and devices such as printers, scanners and copiers).

- Prioritise expenditure and investment accordingly
- **Financial governance**
- To ensure we have the appropriate financial skills and the ability to understand and interpret data
- To analyse clear and concise monitoring reports of the school's budget position
- To ensure access to an adequate level of financial expertise from either the school business professional or finance specialist, including when those staff are absent, e.g. on sick leave
- To have robust plans/policies/procedures in place to set, monitor and authorise spend and manage the risks of overspend
- Ensure adequate arrangements for audit of voluntary funds
- Ensure adequate arrangements in place to guard against fraud and theft by staff, contractors and suppliers
- Ensure business interests of boards and staff properly registered and taken into account to avoid conflicts of interest

#### **Remuneration**

- To exercise strong governance around CEO pay or other highly paid staff.

#### **Staffing**

- To ensure that the Academies are staffed sufficiently for the fulfilment of their development plans and effective operation.
- To establish a Pay Policy for all categories of staff.
- To be responsible for the administration and review of the Pay Policy.
- To ensure that staffing procedures (including recruitment procedures) follow equalities legislation.
- To annually review procedures for dealing with staff discipline and grievances and make recommendations to the trust board for approval.
- To monitor approved procedures for staff discipline and grievance and ensure that the trust board is kept informed of these.
- To recommend to the trust board & LCGC staff selection procedures, ensuring that they conform with safer recruitment practice, and to review these procedures as necessary.
- In consultation with the Executive Principal and Academy Principals to oversee any process leading to staff reductions.
- To establish the annual and longer-term salary budgets and other costs relating to personnel, e.g. training.
- Ensure that the Trust has a suitable officer completing the role of Chief Financial Officer in line with the Academies Financial Handbook

## **Challenge Committee**

School based employed by the trust will not be members of a challenge committee but may attend to provide information and participate in discussions. The committee is quorate with 2 members attending. Committee to meet at least termly.

- Hold the Executive Principal to account:

## **Attainment and Progress**

- Review End of Key Stage outcomes and understand key strengths and areas for development
- Monitor academies tracking data and understand barriers to learning for vulnerable groups and what is being done to mitigate them
- Monitor and evaluate the impact of catch up programmes
- Agree challenging but achievable targets for each academy

## **Curriculum**

- Understand and monitor the MAT curriculum intent, implementation and impact for Early Years, Key Stage 1 and Key Stage 2

## **Quality Assurance**

- Scrutinise current and previous Ofsted Reports and review progress against areas for development
- Monitor current SEF grades and the evidence base that underpins them
- Evaluate and review risks associated with outcomes for children
- Consider evaluations from commissioned external reviews and monitor the impact strategies used to address any concerns
- Challenge any lack of progress as appropriate
- Monitor progress against milestones in Academy Improvement Plans

## **Pupil education outcomes**

- Look at the breakdown of current numbers, for example, by boys/girls, free school meals, pupil premium, English as an additional language, special educational needs (those with an education, health and care (EHC) plan and those on SEND support), looked after children, and previously looked after children.
- Monitor the actions taken to close the attainment gap and to improve year on year. Boards should avoid over-interpreting analysis of small subgroups of pupils, in line with the advice in the [making data work](#) report.

Consider the progress of;

- pupils in receipt of pupil premium and catch-up premium funding, tracked with pupil premium spend
- progress of disadvantaged pupils by key stage/year group against that of their non-disadvantaged peers nationally
- use of pupil premium plus and how it is being used to raise the educational attainment of previously looked after children

- progress of pupils with an EHC plan or on SEND support and an evaluation of the effectiveness of the provision made for them.

### **Appraisal committee**

- To establish and oversee the operation of the MAT Appraisal Policy - including the arrangements and operation of appraisal procedures for the EP and APs.
- To meet with the External Adviser to discuss the Executive Principal's performance targets, and work with the trustees to set targets for the APs.
- To decide, with the External Adviser, whether targets have been met and to set new targets annually.
- To monitor through the year, the performance of the EP against the targets, and to work with the trustees to monitor the performance of APs.
- To make recommendations to the Audit Committee in respect of awards for the successful meeting of targets

### **Risk Management and Health & Safety Committee**

- To establish and oversee the operation of the MAT Covid Risk Assessment policy - including the formation of individual school risk assessments.
- To meet with executive leaders to challenge and support the risk assessments
- To monitor through the year, the success of risk assessing and visit sites to test out procedures
- To make recommendations to the trust board in respect of further safety measures/ action.

#### **Health and safety**

- Monitor all school Risk Assessments
- Sign off all ESFA Site related documentation and reporting
- Analyse health and safety/ accident reports and review areas of non-compliance and audit concerns.
- Analyse number of notifiable accidents/dangerous occurrences, near misses and assess what can be learned/what improvements can be made
- To review, adopt and monitor a Health and Safety policy.

#### **Estate management**

- Consider both short and longer-term needs and priorities, including disability access and produce an estate vision, strategy and asset management plan to support our education vision, aligning this with our published accessibility plan and Maintenance Plan
- Analyse what we currently spend and agree what we need to spend to keep schools safe, watertight and to provide for the future
- To receive at least quarterly reports on all matters relating to the maintenance and development of the premises and grounds, including Health and Safety.
- To recommend to the trust board a proposed order of costed, annual priorities for maintenance and development, for their approval.
- To ensure that an annual inspection of the premises and grounds takes place and a report is received identifying any issues.
- To receive reports on any professional and or external surveys and checks.
- To create a project committee where necessary to oversee any major developments.

## **Local community governance committee**

### **Governance**

- To monitor and review the LCGC and make recommendations to the trustees including on matters such as actively seeking to recruit members, and the appointment and removal of members to the LCGC.
- To monitor and review the skill set of the LCGC members and put in place training and development needs as appropriate.
- To ensure that all LCGC members training is up to date including but not exclusively, Keeping Children Safe in Education, PREVENT and Safer Recruitment.
- To feedback to trustees any matter pertaining to the governance of ESPRIT schools.

### **Safeguarding**

- To monitor and evaluate all relevant safeguarding policies and procedures, including the role of the Designated Safeguarding Officer
- To receive and note the annual safeguarding audit ensuring that progress towards meeting all aspects of the resulting action plan are monitored and evaluated, and report progress annually to trustees
- To monitor staff and Governor training, including keeping Children Safe in Education and Safer Recruitment

### **Absence**

- To monitor attendance, particularly of vulnerable groups
- To review and monitor the use of exclusion within the MAT and provide Exclusion and Appeal Panels if needed
- To meet with children at risk of permanent exclusion and/or with poor attendance and their parents/carers, to agree positive ways forward
- Benchmark authorised, unauthorised and persistent absence rates against comparators and national averages.
- Consider: absence levels by pupil characteristics including: gender, ethnicity, first language, different year groups, free school meal (FSM) eligibility, those with special educational needs or long-term medical conditions, those who have a social worker (looked after children (LAC) and children in need (CIN))

### **Pupil moves (including exclusion levels)**

- Consider the level of pupil moves and the characteristics of pupils who are moving and deploy maximum challenge to school and academy trust management teams on any permanent exclusions to ensure it is a choice of last resort.
- Look at exclusions, those taken off roll and those on roll but attending education off site. It is important to consider both the cost implications of directing children to be educated off site in alternative provision (AP) and whether there are any patterns to the reasons or timing of moves.
- Consider effectiveness and consistency in implementing the school's behaviour policy
- Review the school register and absence codes
- Review instances where pupils receive repeat fixed period exclusions
- Consider interventions in place to support pupils at risk of exclusion or in receipt of fixed period exclusions
- Consider rolling average of permanent exclusions to ensure they are used very sparingly



- Consider the characteristics of children who are excluded, removed from roll or educated off site, such as the proportion who have SEN, whether they are supported by social care and have needed social workers, and their ethnic background.

### **Personal Development, Behaviour and Welfare and Inclusion**

- To receive and monitor the implementation of all statutory policies relating to all pastoral policies including sex education, PSHE, behaviour, bullying, on-line security, attendance and absence
- To receive and accept all statutory policies and strategies relating to SEND, Equality, Pupil Premium and Sports Premium, and to monitor and evaluate their implementation and value for money
- To ensure that the requirements of children with special needs are met, as laid out in the Code of Practice, and receive termly reports from the AP/SENCO and an annual report from the SEN governor.
- To monitor each Academy's provision for all aspects of inclusion, behaviour and spiritual, moral, social and cultural development
- To seek the views of all stakeholders about safety and well-being in the Academies within the MAT and evaluate each Academy's response

### **Engagement**

- To monitor each Academy's publicity, public presentation and relationships with the wider community.
- To monitor that statutory requirements for reporting/ publishing information are met and the websites are compliant and presented in an accessible way.

### **Ofsted judgements**

- Review the last Ofsted assessment and future expectations.
- Check accuracy of SEF judgements

### **Safeguarding**

- Comply with the [keeping children safe in education](#) statutory guidance.
- Check schools have effective safeguarding policies and procedures in place.
- Regularly challenge data around the percentage of staff who are DBS cleared, in particular any outstanding vetting in new employees and the intervention put in place to mitigate risks to pupils until clearance is received.

### **Staff, parent and pupil views**

- Consider staff feedback to measure levels of satisfaction, staff surveys, and exit interview summary reports.
- Consider reasons for high staff absence/turn over
- Discuss staff performance/ objective setting and appraisals
- Consider succession planning

- Consider pupil views through discussion or questionnaires
- Consider parent views
  - Discuss attendance rates at open days or parents' evenings
  - Monitor number of complaints received -

## 2. ESPRIT MAT SCHEME OF DELEGATION 2020-21

**Consult:** the individual/group that should be consulted as part of the process of completing a particular task.

**Deliver:** the individual/group that has responsibility for undertaking the particular task delegated to them and reporting on its delivery at suitable intervals. In the case of the [CEO/EP] this will be at trust level. In the case of the Principal this will be at Academy level.

**Determine:** the individual/group that has primary responsibility for ensuring the particular task is completed and determining how **the trust** and/or academies. (as appropriate) should undertake the task including determining appropriate milestones and targets to be reported against.

**Develop:** the individual/group that has responsibility for developing proposals relating to a task for discussion and approval by the appropriate decision-making individual/group. **Recommend/Approve:** the individual/group that should make recommendations as to how a particular task should be completed. In the case of (i) the [CEO/EP] they will be making recommendations to the Board and/or LCGC (as appropriate), (ii) the LCGC they will be making recommendations in relation to their Academy to the Board, [CEO/EP] and/or Principal (as appropriate) and (iii) the Principal they will be making recommendations in relation to their Academy to the [CEO/EP] and/or LCGC (as appropriate).

**Report:** the individual/group that has responsibility for reporting on the delivery of tasks. In the case of (i) the [CEO/EP] they will be making reports to the Board and/or LCGC (as appropriate), (ii) the LCGC they will be making reports in relation to their Academy to the Board and/or [CEO/EP] (as appropriate) and (iii) the Principal they will be making reports in relation to their Academy to the [CEO/EP] and/or LCGC (as appropriate).

**Review:** the individual/group that has responsibility for reviewing whether a particular task is being carried out satisfactorily and where appropriate requiring action to be taken to ensure task is delivered appropriately. In the case of (i) the Board they will be reviewing the [CEO/EP] and/or LCGC (as appropriate), (ii) the [CEO/EP] they will be reviewing the Principal and (iii) the LCGC they will be reviewing the Principal and his leadership team.

**Comply:** the individual/group will follow agreed policies and procedures.

### KEY

MEMBERS - MEMBERS BOARD MAT - MULTI ACADEMY TRUST TRUSTEES - TRUSTEE BOARD	AP - ACADEMY PRINCIPAL EBM - EXECUTIVE BUSINESS MANAGER EM - ESTATES MANAGER	CO - COMPLIANCE OFFICER	MAT SSO – MAT SENIOR SAFEGUARDING OFFICER LCGC - LOCAL COMMUNITY GOVERNANCE COMMITTEE EP - EXECUTIVE PRINCIPAL
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OVERVIEW	ESFA	Members	Trustees	EP	EBM	LCGC	ACADEMY PRINCIPAL	CO	Commentary
Overall Trust strategy		APPROVE	DETERMINE	RECOMMEND		CONSULT	CONSULT		
New convertor academies joining			APPROVE	RECOMMEND					EP recommendation post due diligence
New sponsor academies joining			APPROVE	RECOMMEND					EP recommendation post due diligence
Entering into funding agreements for new partner academies			APPROVE		RECOMMEND				
MAT Development Plan			APPROVE AND REVIEW	DETERMINE AND DELIVER		CONSULT	CONSULT		
Determine the scope of central services to be delivered by <a href="#">The trust</a>			APPROVE	RECOMMEND					
SLT and Academies Improvement Plans				APPROVE		REVIEW	DETERMINE AND DELIVER		
Entering into, or withdrawing from a formal partnership			APPROVE						

<b>Governance Leadership and Management</b>	<b>ESFA</b>	<b>Members</b>	<b>Trustees</b>	<b>EP</b>	<b>EBM</b>	<b>LCGC</b>	<b>ACADEMY PRINCIPAL</b>	<b>CO</b>	<b>Commentary</b>
Recruitment, Appointment and removal of members and trustees		APPROVE	RECOMMEND	RECOMMEND					EP and trustees can recommend
Terms of reference for subcommittees and for LCGC			APPROVE			RECOMMEND			Standard across all partner academies
Terms of reference for subcommittees of trust Board			APPROVE	RECOMMEND					
Recruitment procedures for LCGC			APPROVE			RECOMMEND			Per Articles of Association
Recruitment, Appointment and removal of LCGC			APPROVE			RECOMMEND			Per Articles of Association
Appoint Chair of LCGC			APPROVE			RECOMMEND			By annual vote in Autumn term and in consultation with trustees
Appoint & Remove Clerk to the Board of trustees and LCGC			APPROVE						trust employed clerk
Governance documents			APPROVE	DELIVER	DELIVER				
Scheme of Delegated Authority			APPROVE	DELIVER					
Register of Interests			APPROVE		DEVELOP				At each level
Publish proposals to change category of school			APPROVE	DELIVER		CONSULT	CONSULT		
Complete annual skills audit and appropriate training programme		COMPLY	COMPLY			COMPLY			At each level
Board and LCGC MAKE UP meets statutory requirements and fulfils Articles of Association		APPROVE	REVIEW						EP and trustees can recommend
Take out Director Indemnity Insurance Cover			APPROVE		DELIVER				
Develop Statutory policies and procedures			APPROVE	DELIVER	CONSULT	CONSULT	CONSULT		

<b>Business and Finance</b>	<b>ESFA</b>	<b>Members</b>	<b>Trustees</b>	<b>EP</b>	<b>EBM</b>	<b>LCGC</b>	<b>ACADEMY PRINCIPAL</b>	<b>CO</b>	<b>Commentary</b>
Annual accounts and reports to funding and regulatory bodies		APPROVE	RECOMMEND		DELIVER				Reviewed by EBM and EP after support from external Accountants
Completion and submission of other accounting returns			APPROVE		DELIVER				In role of Accounting Officer
Completing annual & periodic financial reports to Board (including income/expenditure, cash flow, projections etc.).			APPROVE		DELIVER				
Authorised to complete PAYE returns			APPROVE		DELIVER				
Authorised to complete VAT returns.			APPROVE		DELIVER				
Assurance over adequacy of systems of internal financial control			APPROVE	REVIEW	DELIVER				In role of Accounting Officer
Financial regulations			APPROVE	REVIEW	DELIVER				EBM reports to trustees
Appointment of external auditors		APPROVE		REVIEW	DELIVER				Recommendation from EBM and EP
Annual budget for ESPRIT MAT	APPROVE	APPROVE	RECOMMEND	REVIEW	DELIVER		CONSULT		Prepared by EBM
SET line by line individual academy budget			APPROVE	REVIEW	DELIVER		CONSULT		
Allocate Individual academy budgets			APPROVE	REVIEW	DELIVER		CONSULT		
Management accounts			APPROVE	REVIEW	DELIVER				Report prepared by EBM
Pooling arrangements by the MAT, GAG balances/carry forward			APPROVE	REVIEW	DELIVER	CONSULT	CONSULT		
Charging and remissions policy			APPROVE	REVIEW	DELIVER		CONSULT		
Placing orders for goods and services, entering into contracts - up to £24,999			APPROVE	REVIEW	DELIVER		COMPLY		Tendering process adhered to within budget
Compliance with tendering processes			APPROVE	REVIEW	DELIVER		COMPLY		Report to trustees

Identify additional services to be procured on behalf of the academies			APPROVE	REVIEW	DELIVER		CONSULT		
Authority to accept other than the lowest quote			APPROVE ABOVE 20K	APPROVE BELOW £20K	DELIVER		CONSULT		
Ensure centrally procured services provide value for money			APPROVE	REVIEW	DELIVER				
Cash flow Management, Treasury & Investment			APPROVE	REVIEW	DELIVER		COMPLY		Report to trustees
Open a bank account and approve signatories			APPROVE		DELIVER				EBM to open (standard model for each new partner academy - approval not needed)
Maintain proper financial records			APPROVE		DELIVER		COMPLY		
Payroll - Starters, leavers and amendments			APPROVE		DELIVER		COMPLY		Delegated to SAFO
Payroll - Administration			APPROVE		DELIVER		COMPLY		Delegated to SAFO
Purchasing - Create vendors on accounting system			APPROVE		DELIVER		COMPLY		Delegated to SAFO
Authorisation of expense claims				APPROVE	DELIVER		COMPLY		Cannot authorise own expenses
Control account reconciliation			APPROVE		DELIVER		COMPLY		
Write-off bad debts			APPROVE	REVIEW	DELIVER		COMPLY		Report by EBM
Management of capital projects			APPROVE	REVIEW	DELIVER		COMPLY		
Asset Register not land , buildings or heritage			APPROVE		DELIVER		COMPLY		Partner academies to maintain their own
Security Of Assets			APPROVE		DELIVER		COMPLY		Any issues reported to trustees via LCGC
Disposal of Assets up to £20,000				APPROVE	DELIVER		COMPLY		
Disposal of Assets over £20,000 (ESFA to be informed)			APPROVE		DELIVER		COMPLY		Advised by EP/EBM
Loan of Assets			APPROVE		DELIVER		COMPLY		
Annual Risk Review & Premium Renewal		APPROVE			DELIVER				RPA arrangements in place
Appointment of Internal Auditors			APPROVE		DELIVER				

EFA Grant Claims	RECEIVE		APPROVE	REVIEW	DELIVER				
EFA returns	RECEIVE		APPROVE	REVIEW	DELIVER				
Expenditure not provided for in the annual budget	APPROVE		REVIEW		DELIVER				
Make budget virements			APPROVE	REVIEW	DELIVER				
Applications for business charge card accounts		APPROVE	REVIEW		DELIVER				
Borrow money (bank or sponsor load, overdraft)	APPROVE		REVIEW		DELIVER				
Acquiring a freehold on land and buildings	APPROVE		REVIEW		DELIVER				
Disposal of a freehold on land and buildings	APPROVE		REVIEW		DELIVER				
Acquisition of assets	APPROVE				DELIVER				
Taking up a finance lease	APPROVE		REVIEW		DELIVER				
Taking up a leasehold on land and buildings	APPROVE		REVIEW		DELIVER				
Taking up any other lease	APPROVE		REVIEW		DELIVER				
Granting a lease on land and buildings	APPROVE		REVIEW		DELIVER		CONSULT		
Staff Severance	Approval over 50k		APPROVE BELOW £50K	APPROVE BELOW £20K	DELIVER		CONSULT		HR INVOLVEMENT
Compensation	Approval over 50k		APPROVE BELOW £50K	APPROVE BELOW £20K	DELIVER		CONSULT		HR INVOLVEMENT
Ex Gratia payments	Approval over 50k		APPROVE BELOW £50K	APPROVE BELOW £20K	DELIVER		CONSULT		HR INVOLVEMENT



HR	Members	Trustees	EP	EBM	LCGC	ACADEMY PRINCIPAL	CO	Commentary
Annual staffing structure		APPROVE JULY TB	REVIEW	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Academy staffing budget		APPROVE JULY TB	REVIEW	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Increase Academy/Organisational Headcount (Establishment) within existing staffing budget			APPROVE	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Job Description sign off			APPROVE	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Job evaluation policy & procedures			APPROVE	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Vary basic employment Terms & Conditions			APPROVE	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Recruit, appoint and appraisal of EP	APPROVE	DELIVER	CONSULT			CONSULT		HR ROUTINELY INVOLVED
Recruit, appoint AND APPRAISAL of EBM		APPROVE	DELIVER	CONSULT		CONSULT		HR ROUTINELY INVOLVED
Recruit, appoint and appraisals of Principals		APPROVE	DELIVER			CONSULT		HR ROUTINELY INVOLVED
Recruit, appoint and appraisal of Senior Leaders			APPROVE	REVIEW		DELIVER		HR ROUTINELY INVOLVED
Recruit, appoint and appraisal of other staff					APPROVE	DELIVER		HR ROUTINELY INVOLVED
Recruitment processes pre recruitment checks				APPROVE		DELIVER		HR ROUTINELY INVOLVED
Signing of employment contracts			APPROVE	REVIEW		DELIVER		HR ROUTINELY INVOLVED
Annual approval of pay policy, including pay awards, pay point values, etc.		APPROVE				CONSULT	DELIVER	HR ROUTINELY INVOLVED
Determination of pay ranges		APPROVE		DELIVER		CONSULT		HR ROUTINELY INVOLVED
Allocation of TLR / SEN values			APPROVE			DELIVER		HR ROUTINELY INVOLVED
Annual Pay Progression			APPROVE			DELIVER		HR ROUTINELY INVOLVED
Handling of all pension matters (teachers/ support)		APPROVE	REVIEW	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Use of discretions		APPROVE	REVIEW	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Formulation and approval of MAT policies –see separate policy planner		APPROVE AUT TB	REVIEW			CONSULT	DELIVER	HR ROUTINELY INVOLVED
Approval of formal restructure plans		APPROVE FEB TB	REVIEW	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Approval of severance or redundancy agreements			APPROVE	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Authority to issue warnings or other disciplinary measures except dismissal						APPROVE		HR ROUTINELY INVOLVED

Authorisation of settlement agreements			APPROVE	DELIVER		CONSULT		HR ROUTINELY INVOLVED
Suspension			APPROVE		REVIEW	DELIVER		HR ROUTINELY INVOLVED
Dismissal			APPROVE	DELIVER	REVIEW	DELIVER		HR ROUTINELY INVOLVED
Appeals					APPROVE	DELIVER		HR ROUTINELY INVOLVED
Data protection legislation (pupils, parents and staff)						APPROVE	DELIVER	HR ROUTINELY INVOLVED
Comply with academy website requirements			APPROVE			DELIVER	REVIEW	HR ROUTINELY INVOLVED
Appointment outside range in salary structure		APPROVE	REVIEW	DELIVER				HR ROUTINELY INVOLVED
Carry out Central MAT performance management			DELIVER	CONSULT				HR ROUTINELY INVOLVED

Health and Safety and Estates	Members	Trustees	EP	EBM	LCGC	ACADEMY PRINCIPAL	EM	Commentary
Health and Safety Policy		APPROVE		DELIVER	REVIEW	CONSULT	DELIVER	
Health and safety practice throughout ESPRIT			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	
Critical incident planning		APPROVE	REVIEW	DELIVER		CONSULT	CONSULT	
Health and Safety RIDDOR reporting and Accident reporting		APPROVE		DELIVER	REVIEW	CONSULT	DELIVER	
Premises management and security			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	
Statutory training			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	
Statutory compliance testing			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	
Academy health and safety arrangements including use of risk assessments			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	
Fire risk assessment			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	
Asbestos risk assessment			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	
General monitoring and action plans in relation to safety of sites including buildings conditions			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	
Develop academy building and facilities estate long term strategy for development and maintenance			APPROVE	DELIVER	REVIEW	CONSULT	DELIVER	

School Performance and curriculum	ESFA/ DFE	Members	Trustees	EP	EBM	LCGC	ACADEMY PRINCIPAL	CO	Commentary
SET ANNUAL Academy pupil achievement and attendance targets			APPROVE	REVIEW			DELIVER		
Monitoring of academy targets for pupil achievement and attendance	ANNUAL REVIEW		APPROVE	REVIEW			DELIVER		
Monitoring of standards of quality of T,L,A				APPROVE		REVIEW	DELIVER		
Approval of academy improvement plans				APPROVE	REVIEW		DELIVER		
Post-Ofsted Academy Action Plan sign off			APPROVE	REVIEW			DELIVER		
Approval of MAT IMPROVEMENT PLAN			APPROVE	REVIEW		REVIEW	DELIVER		
Curriculum: Planning, implementation and review				APPROVE		CONSULT	DELIVER		
Ensure provision of RE in line with school's basic curriculum				REVIEW		APPROVE	DELIVER		
Compile data for pupil assessment and statutory returns				REVIEW			DELIVER		
Safeguarding policy is in line with statutory requirements			APPROVE	REVIEW		CONSULT	DELIVER		
ESPRIT educational policies (e.g. off site visits, RE provision, Collective worship, sex education etc.)			APPROVE	REVIEW		CONSULT	DELIVER		
Term dates			APPROVE	REVIEW		CONSULT	DELIVER		
Length/ organisation of Academy day/daily act of worship				APPROVE		APPROVE	DELIVER		
Exclusion				REVIEW		APPROVE	DELIVER		
Permanent exclusions				REVIEW		APPROVE	DELIVER		
Exclusion appeals				REVIEW		APPROVE	DELIVER		
Setting/amending Admissions policies and criteria			APPROVE	REVIEW		CONSULT	DELIVER		
Admissions application decisions				REVIEW		APPROVE	DELIVER		
Admission appeals				REVIEW		APPROVE	DELIVER		

<b>Safeguarding</b>	<b>Members</b>	<b>Trustees</b>	<b>EP</b>	<b>EBM</b>	<b>LCGC</b>	<b>ACADEMY PRINCIPAL</b>	<b>CO MAT SSO</b>	<b>Commentary</b>
Complete and maintain a single central record				APPROVE	REVIEW	DELIVER	REVIEW	Delegated to SAFO
Ensure an annual safeguarding review is completed at each Academy			APPROVE		REVIEW	DELIVER	DELIVER	
Ensure appropriate members of staff are trained in safer recruitment				APPROVE	REVIEW	DELIVER		
Ensure each academy has an appropriately trained designated safeguarding lead (DSL)			APPROVE		REVIEW	DELIVER	DELIVER	
Ensure a trust wide safeguarding policy is in place and compliant with statutory guidance		APPROVE	REVIEW				DELIVER	
Ensure individual academy safeguarding policy is in place and compliant with statutory guidance					REVIEW	APPROVE	DELIVER	
Ensure academy staff receive regular and appropriate safeguarding training			APPROVE		REVIEW		DELIVER	
Ensure the MAT Central team receive regular and appropriate safeguarding training		APPROVE		DELIVER			DELIVER	
Ensure that files related to the protection of children are well organised and held securely				APPROVE	REVIEW	DELIVER		

### 3. ESPRIT Multi Academy Trust Financial Scheme of Delegation

Financial Delegation Limits 2018/19 Academic Year	Authority to Purchase Limit	Authority to Purchase (from Stoke on Trent Local Authority)	Authority To Transfer Budget	Authorisation for Bad Debt Write-Off Limit	Authorisation for write off and disposal of assets	Payroll Monthly Confirmation	On-line Banking BACS Limit	MAT Internal Transfers
Chair/Vice Chair of Trustees	£49,999	£49,999	N/A	Nil	Nil	n/a	n/a	No Limit
Trustee Board	No Limit	No Limit	No Limit	£40,000*	£40,000*	n/a	n/a	No Limit
Executive Principal	£24,999	£49,999	£24,999	£500	£20,000	£250,000	£100,000	£20,000
Deputy Executive Principal	£24,999	£49,999	£24,999	£500	£20,000	£250,000	£100,000	£20,000
Executive Business Manager	£10,000	£24,999	£10,000	£150	£500	£250,000	£100,000	£15,000
Acting Executive Business Manager	£10,000	£24,999	£10,000	£150	£500	£250,000	£100,000	£15,000
Sites Manager	£1,000	£1,000	£Nil	No	No	n/a	n/a	No
Academy Principals	£10,000	£10,000	£10,000	£150	£500	£150,000	n/a	£10,000
Academy Senior Leadership Team	£1,000	£1,000	£Nil	No	No	£150,000	n/a	No

**\*Per single transaction (1% of MAT total annual income) anything above this value must be referred to ESFA.**

Where a pecuniary interest has been declared and has the potential to influence authorisations then a more senior source of authority must be sought using the above list. All limits apply to individual transactions. All BACS transactions and payments are subject to two signatories / authorisers.

Approval received from trustee board:     E. Vane Gathney     Chair of Trustees Date: 11.11.20

4. Membership 2020-2021

MEMBERS BOARD (7)	TRUSTEE BOARD: (8)	AUDIT COMMITTEE	CHALLENGE COMMITTEE	RISK MANAGEMENT AND HEALTH & SAFETY COMMITTEE	LOCAL COMMUNITY GOVERNANCE COMMITTEE	LCGC COMMITTEES
<u>Mrs N Davis (Chair)</u> Mrs J Gaffney Mr G Cartlidge Mrs L Dodd Mr S Bray Mr F Gaffney Mr S Atkins	<u>Mrs J Gaffney (Chair)</u> Mr R Johnstone (Vice Chair) Ms M Chadwick Mrs S. Moran Mrs A. Moore Mr P Atkins Mr P Ralison VACANT	<u>Mr P Atkins (Chair)</u> Mrs J Gaffney Mr P Ralison	<u>Mrs J Gaffney (Chair)</u> Mrs A Moore Mr R Johnstone Mrs S Moran	<u>Mrs A Moore (Chair)</u> Mrs J Gaffney Mr P Atkins Mr P Ralison	<u>Mrs A Moore (Chair)</u> Ms M Chadwick (tbc) Mrs D Wiltshaw – Ms K Dixon – Mrs V Caddy Mrs M Baddeley Mr M Mahmood Mrs Y Glaister Mrs S Carrigan	COMPLAINTS, SELECTION APPEALS  GOVENORS TO BE SELECTED FROM LCGC COMMITTEE
		LINK BUSINESS AND FINANCE TRUSTEE PA  FINANCIAL RISK TRUSTEE PR	VULNERABLE CHILDREN AND STANDARDS LINK TRUSTEE (PP AND SEND) JG  CURRICULUM LINK TRUSTEE RJ	STRATEGIC RISK LINK TRUSTEE AM	ATTENDANCE & EXCLUSIONS LINK GOVERNOR KD  SPORTS PREMIUM LINK GOVERNOR VC  SAFEGUARDING (E-SAFETY) LINK GOVERNOR MC  ESTATES HEALTH AND SAFETY LINK GOVERNOR AM	(makeup of the committee is 3)

					<b>SEND PROVISION LINK GOVERNOR MM</b>
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**ESPRIT TRUST Decision making/ Meetings**

<b>MEETINGS</b>	<b>FREQUENCY</b>	<b>PURPOSE</b>
<b>STRATEGIC GOVERNANCE</b>		
AGM	ANNUAL	Holding the trust Board and Executive leaders to account for educational performance and the effective and efficient performance management of staff.
TRUST BOARD	TERMLY	Ensuring Clarity of Vision, ethos and strategic direction. Holding Executive leaders to account for educational performance and the effective and efficient performance management of staff. Overseeing the financial performance of the trust and making sure money is well spent.
APPRAISAL COMMITTEE	ANNUAL/TE RMLY	Annual setting of appraisal targets Additional desktop review termly
CHALLENGE COMMITTEE	TERMLY	Debating Clarity of Vision, ethos and strategic direction. Challenging and Supporting Executive leaders for educational performance and the effective and performance management of staff.
RISK MANAGEMENT AND HEALTH & SAFETY COMMITTEE	AS NEEDED	TO MONITOR AND CHALLENGE MAT AND SCHOOL RISK ASSESSMENTS DURING GLOBAL PANDEMIC
AUDIT COMMITTEE	QUARTERLY	Challenging and supporting the financial performance of the organisation and making sure money is well spent.
LOCAL COMMUNITY GOVERNANCE COMMITTEE	TERMLY	Challenging and supporting individual school's progress towards achieving strategic priorities. Challenging and supporting the accuracy of school self-evaluation.
TRUSTEE VISITS TO SCHOOLS	TERMLY	Quality assuring the work of Executive leaders.
GOVERNOR VISITS TO SCHOOLS	TERMLY	Quality assuring progress towards SIP priorities.

<b>MAT LEADERSHIP</b>		
STRATEGIC PLANNING DAY	ANNUAL	Devising Clarity of Vision, ethos and strategic direction.
ELT MEETING	MONTHLY	Monitoring trust processes, common ways of working
ELT – SLT MEETINGS	TERMLY	Implementing Clarity of Vision, ethos and strategic direction Termly for large group Half termly for individual working groups
EP SCHOOL	MONTHLY	Holding school leaders to account for educational performance and the effective and efficient performance management of staff.
SCHOOL FINANCE & BUSINESS MEETINGS	MONTHLY	Supporting and challenging the financial performance of schools and making sure money is well spent.
TRUST STRATEGIC MEETINGS	TERMLY	Ensuring Clarity of Vision, ethos and strategic direction for central services.
TRUST MANAGEMENT MEETING	WEEKLY	Holding central team to account for compliance/ financial performance of the organisation and making sure money is well spent.

#### **5. GOVERNANCE TIMELINE 20-21**



<b>AGM</b>	<b>TRUST BOARD</b> -TO RECEIVE ALL COMMITTEE REPORTS AND RECOMMENDATIONS -TO SET STRATEGIC VISION	<b>RISK MANAGEMENT AND HEALTH AND SAFETY COMMITTEE -</b> TO MONITOR COVID RESPONSE IN SCHOOLS - TO MONITOR HEALTH & SAFETY IN SCHOOLS - TO MONITOR ESTATES PLANNING WORK - TO MONITOR ALL RISK ASSESSMENTS	<b>CHALLENGE COMMITTEE –</b> -TO MONITOR ALL STATUTORY DATA RELATING TO ASSESSMENT, TEACHING AND LEARNING - TO MONITOR ALL OTHER DATA RELATING TO TEACHING AND LEARNING - CURRICULUM - VULNERABLE PUPILS	<b>AUDIT COMMITTEE</b> -TO MONITOR FINANCIAL SPEND - TO MONITOR STRATEGIC FINANCIAL PLANNING	<b>APPRAISAL COMMITTEE</b> -TO MONITOR THE WORK OF THE EP	<b>LOCAL COMMUNITY GOVERNANCE COMMITTEE</b> - TO MONITOR ALL STATUTORY DATA RELATING TO SAFEGUARDING - TO MONITOR ALL DATA RELATING TO ATTENDANCE
<b>ANNUAL</b>	<b>TERMLY</b>		<b>TERMLY</b>	<b>TERMLY</b>	<b>TERMLY</b>	<b>TERMLY</b>
<b>AUTUMN 2020 AGENDA</b> • Standards • Full Year Financial Report (statements to be agreed and signed) • Academies Financial Handbook • Training Update for Members  <b>09/12/2020</b>	<b>AUTUMN 2020 AGENDA</b> <b>21/10/20</b> • EP Report – STANDARDS, TLA, L &M, SAFEGUARDING, ATTENDANCE, BEHAVIOUR • Finance • Strategic work • Declaration of interest form • Trustee and Members to declare any declaration of interests • Appt of Chair and Vice Chair • NGA skills audit  <b>09/12/2020</b> • Year End unaudited accounts/EBM report Year End Report to trustees (2018/2019)	<b>AUTUMN 2020 AGENDA</b> <b>30/9/2020</b> • September Reopening • Risk assessment • Review how often meetings are required	<b>AUTUMN 2020 AGENDA</b> <b>30/09/20</b> • School leavers - Data Headlines N/A • SEF Update - • SIP Priorities – L & M, TLA, ASSESSMENT, SET TARGETS • Policies	<b>AUTUMN 2020 AGENDA</b> <b>07/10/2020</b>  Policies Risk Assessment	<b>AUTUMN 2020 AGENDA</b>  EP APPRAISAL REVIEW AND TARGET SETTING	<b>AUTUMN 2020 AGENDA</b> <b>23/09/2020</b> • SEF – QUICK UPDATE • SIP PRIORITIES – BEHAVIOUR, ATTENDANCE, SAFEGUARDING • POLICIES

<p><b>SPRING 2021 AGENDA</b>  <b>24/03/2021 (AP1)</b></p> <ul style="list-style-type: none"> <li>• EP Report – STANDARDS, TLA, L &amp;M, SAFEGUARDING, ATTENDANCE, BEHAVIOUR</li> <li>• Finance</li> <li>• Strategic work</li> </ul>	<p><b>10/2/2021</b></p> <ul style="list-style-type: none"> <li>• Review estates management to identify priorities for maintenance and development for the following year</li> <li>• Health and safety compliance</li> </ul>	<p><b>SPRING 2021 AGENDA</b>  <b>27/01/21</b></p> <ul style="list-style-type: none"> <li>• Autumn Progress data and current on trackness each school <b>(AP1 DATA)</b></li> <li>• Appraisal update</li> <li>• SIP REVIEW, TLA, L&amp;M</li> </ul>	<p><b>SPRING 2021 AGENDA</b>  <b>13/01/2020</b></p> <p>Policies  Risk Assessment</p>	<p><b>SPRING 2021 AGENDA</b></p> <p>EP review</p>	<p><b>SPRING 2021 AGENDA</b>  <b>20/01/2020 (AP1)</b></p> <ul style="list-style-type: none"> <li>• AP Report/ SIP REVIEW on Autumn term (per academy)</li> <li>• <b>BEHAVIOUR, ATTENDANCE, SAFEGUARDING</b></li> </ul>
<p><b>SUMMER 2021 AGENDA</b>  <b>26/05/21 – AP2</b></p> <ul style="list-style-type: none"> <li>• EP Report – STANDARDS, TLA, L &amp;M, SAFEGUARDING, ATTENDANCE, BEHAVIOUR</li> <li>• GB policy and Handbook</li> <li>• Finance</li> </ul> <p>14/07/2021</p> <ul style="list-style-type: none"> <li>• Statutory data early findings</li> <li>• GB policy and Handbook</li> <li>• Policies</li> <li>• Budget approval</li> <li>• Staffing approval</li> </ul>	<p><b>17/6/2021</b></p> <ul style="list-style-type: none"> <li>• Review estates management to identify priorities for maintenance and development for the following year</li> <li>• Health and safety compliance</li> <li>• Summer holiday site updates</li> </ul>	<p><b>SUMMER 2021 AGENDA</b>  <b>21/04/21 – AP2</b></p> <ul style="list-style-type: none"> <li>• Spring Progress data and current on trackness each school <b>(AP 2 DATA)</b></li> <li>• Appraisal update</li> <li>• SIP REVIEW, TLA, L&amp;M – in light of data</li> </ul>	<p><b>SUMMER 2021 AGENDA</b></p> <p>28/04/2021</p> <p>07/07/21</p> <p>Budget proposals  Staffing budget  Restructure proposals</p>	<p><b>SUMMER 2021 AGENDA</b></p> <p>EP review</p>	<p><b>SUMMER 2021 AGENDA</b>  <b>05/05/21 – AP2</b></p> <ul style="list-style-type: none"> <li>• AP Report/ SIP REVIEW on Autumn term (per academy)</li> <li>• <b>BEHAVIOUR, ATTENDANCE, SAFEGUARDING</b></li> </ul>

## 6. ESPRIT MEMBERS AND TRUSTEES PEN PORTRAITS MEMBERS

### Garry Cartlidge

- Manager of large distribution company
- Former manager within Royal Mail, a budget holder who implemented cost saving programmes to reduce budget by 7% year on year using world class methodology and lean working methods to pinpoint defects and improve performance.
- Significant HR experience through Trade Union duties and experience of employment law and worker's rights.
- Trained in health & safety workplace regulations, conducting risk assessments and implementing safe systems of work.

### Lilian Dodd

- 26 years experience in finance within the City Council, having managed the Creditor Payments Team.
- Since 2015 she has been a City Councillor in Stoke on Trent and a member of the Children's and Young Peoples Scrutiny Panel.
- Member of the City Council's Corporate Parenting Panel and Board Member of The House Project- supporting young people in Care to learn to live independently.
- Chairman of 6th Dresden Scout Group, supporting young people in various activities and outdoor pursuits.

### Jane Gaffney (Chair of trust Board)

- Deputy Vice Principal in South Wolverhampton and Bilston Academy, with a focus on Assessment and Standards
- Significant leadership experience in Stoke Local Authority including Strategic Lead for 11-19 phase
- Senior Adviser for the National Strategies in the Data, Monitoring and Evaluation team
- Qualified School Improvement Partner, and Ofsted Inspector 2002-2015
- Accountable for Pupil Premium funding and impact; have carried out external reviews in two Academies
- Vice Chair of UWMAT Interim Advisory Board (IAB)
- Governor on New Friars College Council

### Nicola Davis

- National Leader of Education
- CEO of Amethyst Academies Trust
- Experienced Executive Principal
- Experience of working in Primary education, SENCO role and English teacher

### **Stewart Bray**

- National Leader of Governance since September 2017
- Work currently with Safeguarding Children Board leading training on all safeguarding aspects.
- 2008-2010 – Strategic Manager (Safeguarding & Quality Assurance: Children’s Social Care) -2010-2011 – Strategic Manager (Participation: Learning Services).
- Previously Chair of Governors 2 Governing Boards - REACH PRU (3 successive ‘outstanding’ Ofsted inspections)
- Management of a wide range of service areas with multi-million pound budgets, assuring financial probity, effective financial management and compliance.

### **Francis Gaffney**

- Retired Main Board Director of a large Engineering Plc
- Retired Managing Director of three Group Engineering Companies in the UK and overseas.
- Qualified and Experienced in business change and turnarounds.
- Very experienced in business strategic planning, budgeting and accounting.
- Business Mentor and Business Launch Panel member for the Prince’s Trust.
- Volunteer on the Day Therapies Unit of a local Hospice.
- Member of the Volunteers Desk for Staffordshire Civil Contingencies Unit.

### **Simon Atkins**

- Partner and Head of the Charities and not for profit team at PKF Cooper Parry, a leading Midlands accountancy firm with 36 partners and 450 strong team.
- 20 years’ experience in the accountancy profession having trained and qualified with a top 10 national firm.
- Works exclusively with clients in the charity sector including several local and regional academy trusts and multi academy trusts.
- Leads the firm’s audit work with its academy client base and provides regular training for directors and trustees on governance matters ensuring all up to date with legislation.
- Joined the local governing body of Birchwood Primary School prior to its conversion to an academy and was founding member and director of Communities Academies Trust.
- After chairing the audit committee, Simon became Chair of the trust in September 2015 and has been Chair throughout the growth of the trust from a six school multi academy trust to the size that it is today.

### **TRUSTEES Jane Gaffney – as above**

### **Michelle Chadwick**

- Previous experience as Chair of Governors – Grove Junior School - complete EHT’s annual appraisal, annual review of staffing structures and Safeguarding lead.

- Manage the Police Boxing Club and have raised approx. £300,000 for charities.
- As PCSO successfully works collaboratively with a number of stakeholders. As PCSO risk assess daily routine, analysis of crime statistics
- As Vice Chair of Governors provide support to other Governors and new Governors via skills analysis to identify gaps in skills.

#### **Rob Johnstone**

- CEO of Orchard Community Trust in Stoke
- Previous Interim Assistant Director Stoke LA – Learning Services with oversight of the Stoke on Trent Governor support unit.
- Brokering/ commissioning support/challenge for schools causing concern via best practice school to schools networks in a schools led school improvement system.
- Responsible for assessment and moderation within the LA.
- Vice-Chair of Governors Werrington Primary School
- Trustee on the Potteries Education Trust

#### **Stephanie Moran (Executive Principal)**

- Executive Head teacher of three schools. Northwood 2010 to present moved from causing concern to Good in 2 years. Hamilton caused concern and moved to Good within 2 years. Successful history of providing school to school support and rapid improvement to raise standards.
- School to school support for two RI schools on behalf of the Local Authority leading to rapid improvement (Ofsted 2016/17)
- Very positive track record of school improvement, as a Head worked in 4 failing schools, all of whom are now Good or Outstanding.
- As a School Improvement Partner, 2008-2010 and Early Years moderator, Experience of commissioning and providing support for challenging schools (2014/17)
- NPQEL Trainer
- Trustee on the Potteries Education Trust

#### **Alison Moore**

- Chair of Governors for the ESPRIT Local Governing Board
- Previously Link Governor for Safeguarding and Looked After Children, Pupil Premium and Teaching and Learning
- Experienced in preparing for external audit by regulatory bodies such as EU Managing Authority, Ofsted, Care Quality Commission, Charity Commission, Department for Health and Department for Education
- Significant experience of leadership and management within public and third sector organisations including managing multi-disciplinary teams across a number of locations

- Local Authority Officer working within Employment and Skills in particular working on the production and implementation of the Skills Advisory Panel and Local Industrial Strategy

#### **Patrick Ralison**

- Small company director operating as an independent advisor to organisations in the Financial Services (FS) industry
- Finance and Transformation professional who has spent the last 25 years in FS and the last decade delivering major industry related regulatory change initiatives for blue-chip companies
- Specific focus has been Financial Risk Management, enhancing Data & Analytics capability and optimising governance & control frameworks for Board Risk Appetite processes
- An identifiable TCK adult, who is bilingual and having culturally experienced and lived in 7 different countries more than 2 years is also proficient conversing in Spanish and Italian

#### **Paul Atkins**

- Former teacher with experience in Primary, Secondary and Post-Sixteen sectors
- Independent Business Consultant, Project and Programme Manager.
- Twelve years experience with Public Sector Clients including the Education & Skills Funding Agency. Extensive Capital Programme experience in the Public Sector.
- Education Service Manager for Southampton City Council responsible for Schools Forum, £142m DSG Settlement, Service Improvement, SEND & Capital Programme
- Systems Thinking specialist.
- PFI Contract management for Schools and Building schools

**Esprit Committee Chair's Report [challenge/audit/LCGC/risk management]**

<b>Committee Name</b>	
<b>Date of meeting</b>	

<p><b>Procedural (<u>standing agenda items</u>)</b></p> <ul style="list-style-type: none"><li>• Election of Chair and Vice Chair</li><li>• <u>Matters to be ratified at full trust board</u></li> <li>• <u>Policies</u></li></ul>
<p><b>Holding Executive Leaders to account</b></p>
<p><b>Overseeing performance (link to statutory targets)</b></p>
<p><b>Governance actions and next steps to be reported at next meeting</b></p>
<p><b>Risk, agreed actions and next steps</b></p>

## 7. Link Governor/ Trustee visit form

<b>Name:</b>	<b>Date:</b>	
<b>Attendees:</b>	<b>School:</b>	
<b>Link Area:</b> Safeguarding	<b>Committee:</b> LCGC	
<b><u>Specific Focus of visit</u></b> E-safety check Single Central Record Check		
<b><u>Purpose of visit</u></b>		
<b><u>Key activity undertaken</u></b>		
<b><u>Key Strengths identified</u></b>		
<b><u>Key risks for challenge</u></b>		
<b>Key Follow up Actions Required</b>	<b>By Whom</b>	<b>By When</b>
<b>Any additional evidence attached</b>	<b>Yes</b>	<b>No</b>
<b>Next Visit – date time and purpose</b>		

Link Governor/Trustee Signature: .....

Date:

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School Leader Signature/s: .....

Date:

.....

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*When planning for and completing this visit please be aware of the ESPRIT expectations for Governor/ Trustee visits on the back of this visit form.*

### **Link trustee roles and responsibilities**

- To liaise with the appropriate member(s) of staff and link Governor
- To visit the school with the purpose of gathering information concerning their area of responsibility and to increase their knowledge of the School
- To regularly report to the Trustees on developments and progress within their area of responsibility
- To quality assure the work of executive leaders through desk top analysis, visits to the school and/or attendance at Link Governor and Leader meetings
- To attend training as appropriate
- To monitor the work of the local community governance committee and executive leaders.

### **Link governor roles and responsibilities**

- To liaise with the appropriate member(s) of staff
- To visit the school with the purpose of gathering information concerning their area of responsibility and to increase their knowledge of the School
- To regularly report to the local community governance committee, the link trustee or, whichever the governing body deems most appropriate, on developments and progress within their area of responsibility
- To raise the profile of the area of responsibility when related matters are considered by the governing body
- To attend training as appropriate
- To monitor the work of the school via action plans and evaluations
- *Any items which individual governing bodies may wish to include*

### **School Leader roles and responsibilities**

- To liaise with the appropriate member(s) of staff and link Governor / trustee by setting dates for the school meetings in a timely manner
- To ensure that meetings focus on the review of school improvement plans in readiness for the forthcoming governor meetings/ reports
- To prepare and present information concerning their area of responsibility to inform governors/ trustees
- To regularly report to the link governor on developments and progress within their area of responsibility
- To present evidence for quality assurance to inform the evaluation of progress towards priorities through desk top analysis, visits to the school and/or attendance at Link Governor and Leader meetings
- To monitor the work of staff involved via action plans and evaluations

### **Protocols for meetings**

- Where possible link to an existing visit/ activity so as not to create unnecessary workload
- Link governors/ trustees to prepare questions and challenge prior to the meeting
- Link governors/ trustees to be involved with the setting/agreeing of Objectives
- Link governors/ trustees actively participate with suggestion/ideas to help achieve objectives
- Identify areas to target in actions column to see a plan/improvement by the next meeting •  
Make personal notes on plan and add as an attachment
- Link trustee/ governor to record meeting on visit form.
- Visit form to be shared in a timely way to inform the school/ relevant committee and trust board